08/23/2007

PTO/SB/08a (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
o a collection of information unless it contains a unit ONE. Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

#### 10809163 **Application Number** Filing Date 2004-03-25 **INFORMATION DISCLOSURE** First Named Inventor Joshua T. Goodman STATEMENT BY APPLICANT Art Unit 2131 ( Not for submission under 37 CFR 1.99) **Examiner Name** Unknown Attorney Docket Number MS305314.01/MSFTP596US

· · ·				U.S.I	PATENTS		Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Releva		Lines where ges or Relevant
/F.T./	1	7117358		2006-10-03	Bandini, et al.			
/F.T./	2	7051077		2006-05-23	Lin			
/F.T./	3	7155484		2006-12-26	Malik			
/F.T./	4	6748422		2004-06-08	Morin, et al.	·		
If you wis	h to ac	dd additional U.S. Paten	t citatio	n information p	ease click the Add button.	<u> </u>	Add	
			U.S.P	ATENT APPLI	CATION PUBLICATIONS		Remove	
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Releva		Lines where ges or Relevant
/F.T	./1	20040210640		2004-10-21	Chadwick, et al.			
/F.T./	2	20050120019		2005-06-02	Rigoutsos, et al.			

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number	•	10809163
Filing Date		2004-03-25
First Named Inventor	Joshu	ua T. Goodman
Art Unit		2131
Examiner Name	Unkn	own
Attorney Docket Numb	er	MS305314.01/MSFTP596US

•											
/F.T./	3	20040148330		2004-07	-29	Alspector, et al		•	٠.		
/F.T./	4	20040255122		2004-12	-16	Ingerman, et al				,	
/F.T./	5.	20050076084		2005-04	-07	Loughmiller, et	al.				
/F.T./	6	20030191969		2003-10	-09	Katsikas				,	
/F.T./	7	20050165895		2005-07	-28	Rajan, et al.					
/F.T./	8	20050091321		2005-04	-28	Daniell, et al.		_			
/F.T./	9	20050160148		2005-07	'-21	Yu					
/F.T./	10	20050114452		2005-05	5-26	Prakash					
If you wis	h to a	dd additional U.S. Publi	ished Ap	oplication	citatio	n information p	please click the Ad	d buttor			_
				FOREIG	ON PAT	ENT DOCUM	ENTS		Remove	<u> </u>	
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Countr Code <sup>2</sup>		Kind Code4	Publication Date	Name of Patente Applicant of cited Document	e or	where Rel	or Relevant	Т5
	1										
If you wis	h to a	ı dd additional Foreign P	atent Do	ocument	citation	information pl	lease click the Add	button	Add		

03/19/2007

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99) Application Number 10809163 2004-03-25 Filing Date 2004-03-25 First Named Inventor Joshua T. Goodman Art Unit 2131 Examiner Name Attorney Docket Number MS305314.01/MSFTP596US

					U.S.F	PATENTS			Remove		
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue D	ate	Name of Pate of cited Docu	entee or Applicant ment	Releva	Pages,Columns,Lines where Relevant Passages or Releva igures Appear		
	1										
If you wisl	h to ac	dd additional U.S. Pater	nt citatio	n inform	ation pl	ease click the	Add button.	l	Add		
			U.S.P	ATENT	APPLIC	CATION PUBI	LICATIONS		Remove		
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>		Publication Name of Patentee or Appl Date of cited Document			Releva		Lines where ges or Relev	
/F.T./	1	20030320054	A1 .	2003-10	)-23	Cheng, et al.					
If you wis	h to a	dd additional U.S. Publ	shed Ap	plication	citation	n information p	please click the Ad	d button	Add		
				FOREIG	SN PAT	ENT DOCUM	ENTS		Remove		
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Countr Code <sup>2</sup>		Kind Code4	Publication Date	Name of Patente Applicant of cited Document	e or	vhere Rel	or Relevant	<b>T</b> 5
/F.T./	1	9967731	wo	wo		1999-12-29	Microsoft Corporation				
If you wis	h to a	l dd additional Foreign P	atent Do	cument	citation	information p	lease click the Add	button	Add		
			NOI	N-PATE	NT LITE	RATURE DO	CUMENTS		Remove		
Examiner Initials*	Cite No	Include name of the a (book, magazine, jour publisher, city and/or	nal, seri	ial, symp	osium,	catalog, etc),	the article (when a date, pages(s), vol	ippropria ume-iss	ate), title o ue numbe	of the item er(s),	<b>T</b> 5

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number		10809163
Filing Date		2004-03-25
First Named Inventor	Joshu	ua T. Goodman
Art Unit		2131
Examiner Name		
Attorney Docket Numb	er	MS305314.01/MSFTP596US

/F.T./	1		opean Search report dated February 23, 2007, mailed February 28, 2007 for European Patent Application Serial ober 05105308, 4 pages.							
/F.T./	2	Europ	pean Search Report dated July 5, 2006, mailed July 24, 2006 for Es.	European Application N	lo. EP 06 01 2631, 3					
If you wis	f you wish to add additional non-patent literature document citation information please click the Add button Add									
			EXAMINER SIGNATURE							
Examiner	Signa	iture.	/Fatoumata Traore/	Date Considered	09/20/2007					
			reference considered, whether or not citation is in conformation and not considered. Include copy of this form with		_					
Standard S	T.3). <sup>3</sup> F cument	or Japa by the a	O Patent Documents at <u>www.USPTO.GOV</u> or MPEP 901.04. <sup>2</sup> Enter officences patent documents, the indication of the year of the reign of the Empappropriate symbols as indicated on the document under WIPO Standard on is attached.	eror must precede the ser	rial number of the patent doc	ument.				

PTO/SB/08a (08-03 )
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

#### **Application Number** 10809163 Filing Date 2004-03-25 **INFORMATION DISCLOSURE** First Named Inventor Joshua T. Goodman STATEMENT BY APPLICANT 2131 Art Unit ( Not for submission under 37 CFR 1.99) **Examiner Name** Unknown Attorney Docket Number MS305314.01/MSFTP596US

				U.S.I	PATENTS		Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Releva	Columns,Lines where nt Passages or Relev Appear	
/F.T./	1	6161130		2000-12-12	Horvitz et al.			
/F.T./	2	6842773		2005-01-11	Ralston et al.			
/F.T./	3	6751348		2004-06-15	Buzuloiu et al			
/F.T./	4	6768991		2004-07-24	Hearnden			
If you wis	h to ac	dd additional U.S. Pater	it citatio	n information p	lease click the Add button.		Add	
			U.S.P	ATENT APPLI	CATION PUBLICATIONS		Remove	
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Releva	Columns,Lines where nt Passages or Relev s Appear	
/F.T./	1	20030041126	A1	2003-02-27	Buford et al.			
/F.T./	2	20030016872	A1	2003-01-23	Sun			

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number		10809163		
Filing Date		2004-03-25		
First Named Inventor	Joshu	ua T. Goodman		
Art Unit		2131		
Examiner Name Unk		nown		
Attorney Docket Numb	er	MS305314.01/MSFTP596US		

							,	•	•		
/F.T./	3	20040	199585	A1	2004-10	)-07	Wang				
If you wisl	n to ac	ld add	itional U.S. Publis	shed Ap	plication	citatio	n information p	lease click the Add	butto	n. Add	
					FOREIG	SN PAT	ENT DOCUM	ENTS		Remove	
Examiner Initial*	Cite No	Forei Numi	gn Document per <sup>3</sup>	Country Code <sup>2</sup>		Kind Code4	Publication Date	Name of Patented Applicant of cited Document	e or	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T5
	1		,						·	·	
If you wis	f you wish to add additional Foreign Patent Document citation information please click the Add button Add										
	NON-PATENT LITERATURE DOCUMENTS Remove										
Examiner Initials*	I I I DOOK MAASSING TOURNAL SORIAL SYMNOSIUM CAISION DICL HAID HAIDSISS VOIDINDEISSUB HURBBERS I I I I I									<b>T</b> 5	
/F.T./	1		al Trade Commiss http://www.ftc.gov/					ne FTC's division of I	marketi	ng practices, April 30,	
/F.T./	2	HANS 2003.		sing grou	und in ba	ttle agai	nst spam", The I	New York Times: Te	chnolog	gy section, 22 April 2003,	
If you wis	h to a	dd add	litional non-paten	t literatu	re docu	ment ci	tation informat	on please click the	Add I	outton Add	
		,			EX	AMINE	R SIGNATUR	E			
Examiner	Signa	ture	/Fato	umata	Traore/			Date Conside	ered	09/20/2007	
								ormance with MPE with next communi		. Draw line through a to applicant.	
Standard ST	r.3). <sup>3</sup> f cument	For Japa by the a	inese patent docume	nts, the inc	dication of	the year	of the reign of the	Emperor must precede	e the se	nt, by the two-letter code (Wi rial number of the patent doc cant is to place a check mark	ument.

PTO/SB/08A (04-03)

Approved for use through 04/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

der the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Sheet 1

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

	Coi	mplete if Known	
	Application Number	10/809,163	
	Filing Date	March 25, 2004	
	First Named Inventor	Joshua T. Goodman	
	Art Unit	2131	
	Examiner Name	Unknown	
_	Attorney Docket Number	MS305314 1/MSETP596US	

Examiner	Cite	Document Number	Publication Date	Name of Patentee or	Pages, Columns, Lines, Where
Initials*	No.1	Number-Kind Code <sup>2 (# known)</sup>	MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevan
/F T		US- 6,732,149	05-04-2004	Kephart	
/F.T./		<sup>US-</sup> 6,728,690	04-27-2004	Meek et al.	
/F.T./		<sup>US-</sup> 6,691,156	02-10-2004	Drummond et al.	
/F T /		<sup>US-</sup> 6,684,201	01-27-2004	Brill et al.	
/F.T./		<sup>US-</sup> 6,592,627	07-15-2003	Agrawal et al.	
/F.T./		<sup>US-</sup> 6,484,197	11-19-2002	Donohue	
/F.T./		<sup>US-</sup> 6,424,997	11-23-2002	Buskirk Jr. et al.	
/F.T./		<sup>US-</sup> 6,266,692	07-24-2001	Greenstein	
/F.T./		<sup>US-</sup> 6,192,360	02-20-2001	Dumais et al.	
/F T /		<sup>US-</sup> 6,161,130	12-12-2000	Horvitz et al.	
****		US-			
		US-		• .	
		US-			
		US-			

		FORE	IGN PATENT DOCU	IMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	
				•		

Examiner Signature	/Fatoumata Traore/	Date Considered	09/20/2007	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0851-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

	Under the Paperwork Reduction Act of 1995, no persons an			Complete if Known			
				Application Number	10/809,163		
INFO	ORMATION	N DIS	CLOSURE	Filing Date	March 25, 2004		
STA	TEMENT	BY A	PPLICANT	First Named Inventor	Joshua T. Goodman		
	(Use as many sh	ante ne m	eressend	Art Unit	2131		
				Examiner Name	Unknown		
Sheet	2	of	2	Attorney Docket Number	MS305314.1/MSFTP596US		

	<del>,</del>	NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			
/F.T./		KEVIN R. GEE, Using Latent Semantic Indexing to Filter Spam, SAC 2003, 2003, pp. 460-464, Melbourne, Florida, USA.			
/F.T./		FABRIZIO SEBASTIANI. Machine Learning in Automated Text Categorization. ACM Computing Surveys, Vol. 34 Issue 1, pp. 1-47, 2002.			
/F.T./		I. ANDROUTSOPOULOS, et al., Learning to Filter Spam E-mail: A Comparison of a Naive Bayesian and a Memory-based Approach, PKDD-2000, September 2000, 13 pages, Lyon, France.			
/F.T./		THORSTEN JOACHIMS. Transductive Inference for Text Classification using Support Vector Machines. Proceedings of the 16th International Conference on Machine Learning, 1999. 10 pages.			

Examiner   /Fatoumata Traore/	Date Considered	09/20/2007
-------------------------------	--------------------	------------

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of Information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. Do NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

iduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO				Complete if Known		
				Application Number	10/809,163	
SUPPLEMENTAL INFORMATION				Filing Date	March 25, 2004	
DISCLOSURE STATEMENT				First Named Inventor	Joshua T. Goodman	
BY AP	PLICANT			Art Unit	2131	
(Use as many sheets as necessary)				Examiner Name	Unknown	
Sheet	1	of	7	Attorney Docket Number	MS305314.1/MSFTP596US	

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No.	Document Number  Number-Kind Code <sup>2 (f known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/F.T./		US- 6,779,021	08-17-2004	Bates et al.	
/F.T	1	US- 6,633,855	10-14-2003	Auvenshine	
/F T	,	US- 6,023,723	02-08-2000	McCormick et al.	•
/F.T./	l	US- 6,003,027	12-14-1999	Prager	
/F.T./		US- 6,434,600	08-13-2002	Waite et al.	•
/F T		us- 5,835,087	11-10-1998	Herz et al.	
/F.T./		US- 6,370,526	04-09-2002	Agrawal et al.	
/F.T	/	US- 6,327,617	12-04-2001	Fawcett	
/F.T.		US- 6,308,273	10-23-2001	Goertzel et al.	
/F.T./		US- 5,704,017	12-30-1997	Heckerman et al.	
/F T /		US- 5,905,859	05-18-1999	Holloway et al.	
/F.T./		US- 5,805,801	09-08-1998	Holloway et al.	
/F.T./		US- 2004/0139165	07-15-2004	McMillan et al.	
/F.T.		US- 2004/0139160	07-15-2004	Wallace et al.	
/F.T./		US- 2004/0093371	05-13-2004	Burrows et al.	
/F T /		US- 2004/0054887	03-18-2004	Paulsen et al.	
/F,T,/		US- 2003/0037074	02-20-2003	Dwork et al.	
/F T /		US- 2002/0059425	05-16-2002	Belfiore et al.	• .

FOREIGN PATENT DOCUMENTS									
Examiner Initials*	Cite No.1	Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>3</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	7			
**************		***************************************				Γ			
*************	**********	***************************************		***************************************		Γ			
••••••••	*********				······································	Τ			
************			** ***************************	<b></b>	·	Т			

Examiner Signature	, /Fatoumata Traore/	Date Considered	09/20/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandría, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandría, VA 22313-1450.

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 6651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
rwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB

Complete if Known Substitute for form 1449A/PTO **Application Number** 10/809,163 SUPPLEMENTAL INFORMATION March 25, 2003 Filing Date **DISCLOSURE STATEMENT** Joshua T. Goodman **First Named Inventor** BY APPLICANT Art Unit 2131 (use as many sneets as necessary) Unknown **Examiner Name** Attorney Docket Number MS305314.1/MSFTP596US Sheet of

			U.S. PAT	ENT DOCUMENTS	
Examiner Initials		<u>Document Number</u> Number - Kind Code <sup>2</sup> (If known	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/E.T		US- 2002/0059425	05-16-2002	Belfiore et al.	
/F.T. /F.T.	<u>/</u>	us- 2002/0016956	02-07-2002	Fawcett	
ÆŦ.		US- 5,638,487	06-10-1997	Chigier	
/F.T./ /F.T./		us- 5,619,648	04-08-1997	Canale et al.	
ÆT.		us- 5,377,354	12-27-1994	Scannell et al.	
		US-			1
		US-			
		US-			·
		US-			

		FORE	IGN PATENT D	OCUMENTS		
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document  Country Code 3 "Number 4 - Kind Code 3 (# Introver)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Peges, Columns, Lines, Where Relevant Pessages or Relevant Figures Appear	Τ6
/F.T		EP 413 537	02-20-1991	Scannell et al.		
/F T /		EP 720 333	07-03-1996	Canale et al.		L
/5 T /		WO 96/35994	11-14-1996	Finney et al.		
71.17						
					<u> </u>	
		!				
						_
						_
						<u> </u>
						ட

Examiner Signature	/Fatoumata Traore/	Date Considered	09/20/2007

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case, Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must pracede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitut	Substitute for form 1449/PTO			Complete if Known			
	PLEMENT			Application Number	10/809,163		
INFO	DRMATIO	N DIS	CLOSURE	Filing Date	March 25, 2004		
STATEMENT BY APPLICANT			PPLICANT	First Named Inventor	Joshua T. Goodman		
	(Use as many st			Art Unit	2131		
	(Use as many sr	ieets as n	ecessary)	Examiner Name	Unknown		
Sheet	3	of	7	Attomey Docket Number	MS305314.1/MSFTP596US		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/F.T.		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11.	
/F.T./		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	
/F.T./		DAPHNE KOLLER, et al.; "Hierarchically Classifying Doucments Using Very Few Words"; In ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning; San Francisco, CA: Morgan Kaufmann 1997; 9 pages.	
/F.T./		ELLEN SPERTUS; "Smokey: Automatic Recognition of Hostile Messages"; Proceedings of the Conference on Innovative Applications in Artificial Intelligence (IAAI), 1997, 8 pages.	·
/F.T./		HINRICH SCHUTZE, et al.; "A Comparison of Classifiers and Document Representations for the Routing Problem"; Proceedings of the 18th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, Seattle, WA, July 9-13, 1995; pp. 229-237.	
/F.T./		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	
/F.T./		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Camegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	
/F.T./		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	
/F.T./		MEHRAN SAHAMI; "Learning Limited Dependence Bayesian Classifiers"; In KDD-96: Proceedings of the Second International Conference on Knowledge Discovery and Data Mining; AAAI Press, 1996; Menlo Park, CA; pp. 335-338.	
/F.T./		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: http://www.research.att.com/nwcohen/pubs.html.	

<u>-</u>				
Examiner		Date		ı
Signature	/Fatoumata Traore/	Considered	09/20/2007	ı

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will very depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

2 700 Approved for use

PTO/SB/08B (08-03)
Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

	te for form 1449/PTO				Complete If Known	
	PLEMENT			Application Number	10/809,163	
<b>INFORMATION DISCLOSURE</b>				Filing Date	March 25, 2004	
STA	TEMENT	BY A	PPLICANT	First Named Inventor	Joshua T. Goodman	
	(Use as many si			Art Unit	2131	
	(Ose as many s	necis as ne	·	Examiner Name	Unknown	السيانة البيدة
Sheet	4	of	7	Attorney Docket Number	MS305314.1/MSFTP596US	

	Lau	NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/F.T./		MAKOTO IWAYAMA, et al., Hierarchical Bayesian Clustering for Automatic Text Classifiation, Natural Language, 1995, pp. 1322-1327.	
/F.T./		DAVID D. LEWIS, An Evaluation of Phrasal and Clustered Representations on a Text Categorization Task, 15th Annual International SIGIR '92, Denmark 1992, pp. 37-50.	
/F.T./		DAPHNE KOLLER, et al, Toward Optimal Feature Selection, Machine Learning Proc. of the Thirteenth International Conference, Morgan Kaufmann, 1996, 9 pages.	
/F.T./		DAVID DOLAN LEWIS, Representation and Learning in Information Retrieval, University of Massachusetts, 1992.	
/F.T./		TOM MITCHELL, Machine Learning, Carnegie Mellon University, Bayesian Learning, Chapter 6, pp. 180-184.	
/F.T./		Y. H. Li, et al., Classification of Text Documents, The Computer Journal, Vol. 41, No. 8, 1998; pp. 537-546.	
/F.T./		JUHA TAKKINEN, et al., CAFE: A Conceptual Model for Managing Information in Electronic Mail, Laboratory for Intelligent Information Systems, Department of Computer and Information Science, Linkoping University, Sweden, Conference on System Sciences, 1998 IEEE.	
/F:T./		JACOB PALME, et al., Issues When Designing Filters In Messaging Systems, Computer Communications, 1996, pp. 95-101, Stockholm, Sweden.	
/F. <b>T</b> ./		RICHARD B. SEGAL, et al., SwiftFile: An Intelligent Assistant for Organizing E-Mail, In Proceedings of the Third International Conference on Autonomous Agents, May 1999, 7 pages.	
/F.T./		MEHRAN SAHAMI, et al., A Bayesian Approach to Filtering Junk E-Mail, AAAI Workshop on Learning for Text Categorization, July 1998, 8 pages, Madison, Wisconsin, USA.	

Examiner		Date	
Signature	/Fatoumata Traore/	Considered	09/20/2007

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will very depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitut	e for formation to a	7			of information unless it contains a valid OMB control number.  Complete if Known
	UPPLEMENTAL IFORMATION DISCLOSUR TATEMENT BY APPLICAN  (Use as many sheets as necessary)		Application Number	10/809,163	
INFO	DRMATION	I DIS	CLOSURE	Filing Date	March 25, 2004
STA	PPLEMENTAL ORMATION DISCLOSUF ATEMENT BY APPLICAN (Use as many sheets as necessary)	PPLICANT	First Named Inventor	Joshua T. Goodman	
	(line no many ab			Art Unit	2131
,	(Use as many sn	8813 83 N	ecessary)	Examiner Name	Unknown
Sheet	5	of	7	Attorney Docket Number	MS305314.1/MSFTP596US

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initlals*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, senal, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/F.T./		DAVID MADIGAN, Statistics and The War on Spam, Rutgers University, pp. 1-13, 2003.	
/F.T./		PADRAIG CUNNINGHAM, et al., A Case-Based Approach to Spam Filtering that Can Track Concept Drift, In The ICCBR'03 Workshop on Long-Lived CBR Systems, June 2003, 9 pages, Trondheim, Norway.	
/F.T./		MARK ROSEN, E-mail Classification in the Haystack Framework, Massachusetts Institute of Technology, February, 2003, 103 pages.	
/F.T./		D. TURNER et al., Payment-based Email, 5th International Conference on Software Engineering, Artificial Intelligence, Networking, and Parallel/Distributed Computing, June 2004, 7 pages.	
/F.T./		JOHN WONG, Preventing Spams and Relays, Linux Journal, December 1998, 6 pages, Vol. 1998 Issue 56es, Specialized Systems Consultants, Inc.	
/F.T./		MENG WENG WONG, SPF Overview, Linux Journal, April 2004, 6 pages, Vol. 2004 Issue 120, Specialized Systems Consultants, Inc.	
/F.T./		Stop, in the Name of Spam, Communications of the ACM, November 1998, pp.11-14, Vol. 41 No. 11.	
/F.T./		ERIC ALLMAN, Spam, Spam, Spam, Spam, Spam, the FTC, and Spam, Queue, September 2003, pp. 62-69, Vol. 1 Issue 6.	
/F. <b>T</b> ./		TOM FAWCETT, "In vivo" Spam Filtering: A Challenge Problem for KDD, SIGKDD Explorations, December 2003, pp. 140-148, Vol. 5 Issue 2.	
/F.T./		J.D.M. RENNIE. ifile: An Application of Machine Learning to E-Mail Filtering, Proceedings of the KDD-2000 Workshop on Text Mining, Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, 2000. 6 pages.	

			· · · · · · · · · · · · · · · · · · ·
Examiner		Date	00/20/2007
Signature	/Fatoumata Traore/	Considered	09/20/2007

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). 2 Applicant Is to place a check mark here if English language Translation is attached.
This collection of Information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

on Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute	e for form 1449/PTO				Complete if Known
	PLEMENTA	\L		Application Number	10/809,163
INFC	RMATION	l DIS	CLOSURE	Filing Date	March 25, 2004
STA	TEMENT E	BY A	PPLICANT	First Named Inventor	Joshua T. Goodman
	(Use as many she			Art Unit	2131
	(Use as many sne	70 ES 63 FF	ecessary)	Examiner Name	Unknown
Sheet	6	of	7	Attorney Docket Number	MS305314.1/MSFTP596US

Examiner	Cite	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	
Initials*	No.1	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/F.T./		S. ARGAMON, et al., Routing documents according to style, In First International Workshop on Innovative Information Systems, 1998, 8 pages.	
/F.T./		K. MOCK, An Experimental Framework for Email Categorization and Management, Proceedings of the 24th Annual International ACM SIGIR Conference, 2001, pp.392-393.	
/F.T./		JOSE MARIA GOMEZ HIDALGO, Evaluating Cost-Sensitive Unsolicited Bulk Email Categorization, SAC 2002, 2002, pp. 615-620, Madrid, Spain.	
/F.T./		A.Z. BRODER, et al. Syntactic Clustering of the Web, SRC Technical Note, Digital Corporation, July 25, 1997, 13 pages.	
/F.T./		I. ANDROUTSOPOULOS,et al., An Experimental Comparison of Naive Bayesian and Keyword-based Anti-spam Filtering with Personal E-mail Messages, Proceedings of the 23rd ACM SIGIR Conference, 2000, pp. 160-167.	
/F.T./		P. PANTEL, et al., SpamCop: A Spam Classification & Organization Program, In Proc. AAAI-1998 Workshop on Learning for Text Categorization, 1998, 8 pages.	
/F.T./		G. MANCO, et al., Towards an Adaptive Mail Classifier, In Proc. of Italian Association for Artificial Intelligence Workshop, 2002, 12 pages.	
/F.Ť./		CORMAC O'BRIEN, et al., Spam Filters: Bayes vs. Chi-squared; Letters vs. Words, Proceedings of the 1st international symposium on Information and communication technologies, 2003, pp.291-296, Dublin, Ireland.	
/F.T./		OLLE BALTER, et al., Bifrost Inbox Organizer: Giving users control over the inbox, NordiCHI 10/02, 2002, pp.111-118, Arhus, Denmark.	
/F.T./		LORRIE FAITH CRANOR, et al., Spam!, Communications of the ACM, 1998, pp. 74-83, Vol. 41-No. 8.	

Examiner		Date	00/00/0007
Signature	/Fatoumata Traore/	Considered	09/20/2007

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449/PTO **Application Number SUPPLEMENTAL** 10/809,163 INFORMATION DISCLOSURE Filing Date March 25, 2004 STATEMENT BY APPLICANT First Named Inventor Joshua T. Goodman Art Unit 2131 (Use as many sheets as necessary) Examiner Name Unknown Attorney Docket Number Sheet 7 MS305314.1/MSFTP596US

Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
/F.T./		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans, International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, 2000, pp. 418-423.		
/F.T./		S. LI et al., Secure Human-Computer Identification against Peeping: A Survey, Microsoft Research, 2003, 53 pages.		
/F.Ť./		D.A. TURNER et al., Controlling Spam through Lightweight Currency, In Proc. of the Hawaii International Conference on Computer Sciences, January 2004, 9 pages.		
	į			

Examiner		Date	
Signature	/Fatoumata Traore/	Considered	09/20/2007

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08a (08-03)

Approved for use through 07/31/2008. OMB 0851-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE ct of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Application Number 10/809,163 SUPPLEMENTAL INFORMATION Filing Date March 25, 2004 DISCLOSURE STATEMENT First Named Inventor Joshua T. Goodman **BY APPLICANT** Art Unit 2131 Examiner Name Unknown (Use as many sheets as necessary) Attorney Docket Number MS305314.1/MSFTP596US

F. andan	Ġ.			DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
		Number-Kind Code <sup>2 (# known)</sup>		TAPINGEN OF CHECK DOCUMENT	Figures Appear
/ <del>F.</del> T	,	US- 6,779,021	08-17-2004	Bates et al.	
/F.T.		US- 6,633,855	10-14-2003	Auvenshine	···
/F.T./		US- 6,023,723	02-08-2000	McCormick et al.	
/F.T./		US- 6,003,027	12-14-1999	Prager	
/F.T./		US- 6,434,600	08-13-2002	Waite et al.	
/F.T./		US- 5,835,087	11-10-1998	Herz et al.	
/F.T./		<sup>US-</sup> 6,370,526	04-09-2002	Agrawal et al.	
/F.T./		US- 6,327,617	12-04-2001	Fawcett	
/F.T./		US- 6,308,273	10-23-2001	Goertzel et al.	
/F.T./		US- 5,704,017	12-30-1997	Heckerman et al.	
/F.T./		US- 5,905,859	05-18-1999	Holloway et al.	-
<u>/F.T./</u>		US- 5,805,801	09-08-1998	Holloway et ai.	
/F.T./		US- 2004/0139165	07-15-2004	McMillan et al.	
/F.T./		US- 2004/0139160	07-15-2004	Wallace et al.	
<i>[</i> F.T. <i>[</i>		US- 2004/0093371	05-13-2004	Burrows et al.	
/F.T./		.US- 2004/0054887	03-18-2004	Paulsen et al.	
/F.T./		US- 2003/0037074	02-20-2003	Dwork et al.	
/F.T./	. —	US- 2002/0059425	05-16-2002	Belfiore et al.	

FOREIGN PATENT DOCUMENTS							
Cite No.1	Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>3</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	ŀ		
***********			•••••••••••••••	***************************************	L		
			•••••••••••••••••••••••••••••••••••••••	***************************************	L		
				***************************************	L		
			• *** • • • • • • • • • • • • • • • • •	PTG   TT     10 000     10   11   10 000   12   12	L		
	No.¹	Cite Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Cite No.1 Foreign Patent Document Publication Date MM-DD-YYYY  Country Code3 Number * Kind Code5 (if known)	Cite No.1 Foreign Patent Document Publication Date MM-DD-YYYY Applicant of Cited Document  Country Code <sup>3</sup> 'Number <sup>4</sup> 'Xind Code <sup>5</sup> (if known)  Name of Patentee or Applicant of Cited Document	Cite No. 1 Country Code <sup>3</sup> Number <sup>4</sup> Xind Code <sup>6</sup> (if known)  Publication Date MM-DD-YYYY Applicant of Cited Document Or Applicant of Cited Document Or Relevant Figures Appear		

Examiner		Date	00/00/0007
Signature	/Fatoumata Traore/	Considered	09/20/2007
	/i albuillala i abie/	Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. 3 Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO			is are required to	Complete if Known		
CUDDLE	MENTAL INFORM			Application Number	10/809,163	_
	EMENTAL INFORM			Filing Date	March 25, 2004	_
DISCLOSURE STATEMENT				First Named Inventor	Joshua T. Goodman	
BY APP	LICANT			Art Unit	2131	_
(Use as many sheets as necessary)				Examiner Name	Unknown	_
Sheet	2	of.	7	Attorney Docket Number	MS305314.1/MSFTP596US	7

	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant
		Number-Kind Code <sup>2 (# known)</sup>	WIND DO LLIL	Applicant of Cited Document	Figures Appear
/F.T./		US- 2002/0016956	02-07-2002	Fawcett	
/F.T./		US- 5,638,487	06-10-1997	Chigier	
/F.T./		US- 5,619,648	04-08-1997	Canale et al.	
/F.T./		US- 5,377,354	12-27-1994	Scannell et al.	
		US-		·	
		US-			
······································		US-	•		
		US-			
		US-		- h	
	-	US-	, ,		······································
		US-			

FOREIGN PATENT DOCUMENTS							
Examiner	Cite	Foreign Patent Document	Publication Date	Name of Patentee or	Pages, Columns, Lines,	١.	
Initials*	No.'	Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>3</sup> (# knawn)	MM-DD-YYYY	Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear	Ľ	
/F.T./ <sub>.</sub>		EP 413 537	02-20-1991	Scannell et al.			
/F.T./		EP 720 333	07-03-1996	Canale et al.			
/F.T./		WO 96/35994	11-14-1996	Finney et al.	**************************************		
*****************	***************************************		***************************************	• • • • • • • • • • • • • • • • • • • •	10710 5000 60001 100 10000 5 5771 511 7000 6000 6000 6000 6000 6000 6000 60		
•••••••	***********		••••••••••• <del>••</del> •••••••••••	• • • • • • • • • • • • • • • • • • • •	***************************************	Г	

_		 	
Examiner	/Catalymata Traces/	Date	
Signature	/Fatoumata Traore/	Considered	00/00/0007
			09/20/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

This collection of Information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)
Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
be collection of information unless it contains a unit OMB.

Substitute	e for form 1449/PTO			Complete if Known		
SUPPLEMENTAL				Application Number	10/809,163	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			CLOSURE	Filing Date	March 25, 2004	
			PPLICANT	First Named Inventor	Joshua T. Goodman	
	(lleg se many ch			Art Unit	2131	
(Use as many sheets as necessary)		Examiner Name	Unknown			
Sheet	3	of	7	Attorney Docket Number	MS305314.1/MSFTP596US	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/F.T./		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11.	-
/F.T./		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	
/F.T./		DAPHNE KOLLER, et al.; "Hierarchically Classifying Doucments Using Very Few Words"; In ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning; San Francisco, CA: Morgan Kaufmann 1997; 9 pages.	·
/F.T./		ELLEN SPERTUS; "Smokey: Automatic Recognition of Hostile Messages"; Proceedings of the Conference on Innovative Applications in Artificial Intelligence (IAAI), 1997, 8 pages.	
/F.T./		HINRICH SCHUTZE, et al.; "A Comparison of Classifiers and Document Representations for the Routing Problem"; Proceedings of the 18th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, Seattle, WA, July 9-13, 1995; pp. 229-237.	
/F.T./		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	
/F.T./		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	
/F.T./ ·		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	
/F.T./		MEHRAN SAHAMI; "Learning Limited Dependence Bayesian Classifiers"; In KDD-96: Proceedings of the Second International Conference on Knowledge Discovery and Data Mining; AAAI Press, 1996; Menlo Park, CA; pp. 335-338.	
/F.T./		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: http://www.research.att.com/nwcohen/pubs.html.	-

Examiner	(C-1	Date	09/20/2007
Signature	/Fatoumata Traore/	Considered	09/20/2007

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/S8/08B (08-03)
Approved for use through 07/31/2008. OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute	Substitute for form 1449/PTO			Complete if Known		
	PLEMENTA	L		Application Number	10/809,163	
INFORMATION DISCLOSURE		Filing Date	March 25, 2004			
STA	STATEMENT BY APPLICANT		First Named Inventor	Joshua T. Goodman		
•				Art Unit	2131	
(Use as many sheets as necessary)		Examiner Name	Unknown			
Sheet	4	of	7	Attorney Docket Number	MS305314.1/MSFTP596US	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/F.T./		MAKOTO IWAYAMA, et al., Hierarchical Bayesian Clustering for Automatic Text Classifiation, Natural Language, 1995, pp. 1322-1327.	
/F.T./		DAVID D. LEWIS, An Evaluation of Phrasal and Clustered Representations on a Text Categorization Task, 15th Annual International SIGIR '92, Denmark 1992, pp. 37-50.	
/F.Ţ./		DAPHNE KOLLER, et al, Toward Optimal Feature Selection, Machine Learning Proc. of the Thirteenth International Conference, Morgan Kaufmann, 1996, 9 pages.	
/F.T./	/F.T./ DAVID DOLAN LEWIS, Representation and Learning in Information Retrieval, University of Massachusetts, 1992.		
/F.T./		TOM MITCHELL, Machine Learning, Carnegie Mellon University, Bayesian Learning, Chapter 6, pp. 180-184.	
/F.T./		Y. H. Li, et al., Classification of Text Documents, The Computer Journal, Vol. 41, No. 8, 1998; pp. 537-546.	
/F.T./.		JUHA TAKKINEN, et al., CAFE: A Conceptual Model for Managing Information in Electronic Mail, Laboratory for Intelligent Information Systems, Department of Computer and Information Science, Linkoping University, Sweden, Conference on System Sciences, 1998 IEEE.	
/F.T./		JACOB PALME, et al., Issues When Designing Filters In Messaging Systems, Computer Communications, 1996, pp. 95-101, Stockholm, Sweden.	
/F.T./	RICHARD B. SEGAL, et al., SwiftFile: An Intelligent Assistant for Organizing E-Mail, In Proceedings of the Third International Conference on Autonomous Agents, May 1999, 7 pages.		
/F.T./		MEHRAN SAHAMI, et al., A Bayesian Approach to Filtering Junk E-Mail, AAAI Workshop on Learning for Text Categorization, July 1998, 8 pages, Madison, Wisconsin, USA.	

Examiner /Fatoumata Traore/	Date Considered	09/20/2007

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006. OMB 0551-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitut	te for form 1449/PTO			Complete if Known		
	PLEMENTA	L		Application Number	10/809,163	
INFO	ORMATION	DIS	CLOSURE	Filing Date	March 25, 2004	
STA	STATEMENT BY APPLICANT			First Named Inventor	Joshua T. Goodman	
	(Use as many she	ate oo s		Art Unit	2131	
	1030 83 many sne	10 83 N	ecossary,	Examiner Name	Unknown	
Sheet 5 of 7		Attorney Docket Number	MS305314.1/MSFTP596US			

Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	<u> </u>
Initials*	No.1	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/F.T./		DAVID MADIGAN, Statistics and The War on Spam, Rutgers University, pp. 1-13, 2003.	
/F.T./		PADRAIG CUNNINGHAM, et al., A Case-Based Approach to Spam Filtering that Can Track Concept Drift, In The ICCBR'03 Workshop on Long-Lived CBR Systems, June 2003, 9 pages, Trondheim, Norway.	
/F.T./		MARK ROSEN, E-mail Classification in the Haystack Framework, Massachusetts Institute of Technology, February, 2003, 103 pages.	
/F.T./	D. TURNER et al., Payment-based Email, 5th International Conference on Software Engineering Artificial Intelligence, Networking, and Parallel/Distributed Computing, June 2004, 7 pages.		
/F.T./	JOHN WONG, Preventing Spams and Relays, Linux Journal, December 1998, 6 pages, Vol. 199 Issue 56es, Specialized Systems Consultants, Inc.		
/F.T./		MENG WENG WONG, SPF Overview, Linux Journal, April 2004, 6 pages, Vol. 2004 Issue 120, Specialized Systems Consultants, Inc.	
/F.T./		Stop, in the Name of Spam, Communications of the ACM, November 1998, pp.11-14, Vol. 41 No. 11.	
/F.T./		ERIC ALLMAN, Spam, Spam, Spam, Spam, the FTC, and Spam, Queue, September 2003, pp. 62-69, Vol. 1 Issue 6.	
/F.T./	/F.T./ TOM FAWCETT, "In vivo" Spam Filtering: A Challenge Problem for KDD, SIGKDD Explorations, December 2003, pp. 140-148, Vol. 5 Issue 2.		
/F.T./		J.D.M. RENNIE. ifile: An Application of Machine Learning to E-Mail Filtering, Proceedings of the KDD-2000 Workshop on Text Mining, Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, 2000. 6 pages.	

Examiner	/Fatoumata Traore/	Date	09/20/2007
Signature	/Fatoumata Traore/	Considered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Approved for use through 07/31/2006, OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitut	e for form 1449/PTO	,			Complete if Known
SUP	PLEMENT	AL		Application Number	10/809,163
INFO	PRMATIO	N DIS	CLOSURE	Filing Date	March 25, 2004
STA	TEMENT	BY A	PPLICANT	First Named Inventor	Joshua T. Goodman
	(Use as many si		eccennd	Art Unit	2131
	(030 03 many sr	10043 03 //	00033 <i>019)</i>	Examiner Name	Unknown
Sheet 6 of 7		Attorney Docket Number	MS305314.1/MSFTP596US		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/F.T./		S. ARGAMON, et al., Routing documents according to style, In First International Workshop on Innovative Information Systems, 1998, 8 pages.	
/F.T./		K. MOCK, An Experimental Framework for Email Categorization and Management, Proceedings of the 24th Annual International ACM SIGIR Conference, 2001, pp.392-393.	
/F.T./		JOSE MARIA GOMEZ HIDALGO, Evaluating Cost-Sensitive Unsolicited Bulk Email Categorization, SAC 2002, 2002, pp. 615-620, Madrid, Spain.	
/F.T./	/F.T./ A.Z. BRODER, et al. Syntactic Clustering of the Web, SRC Technical Note, Digital Corporation, July 25, 1997, 13 pages.		
/F.T./		I. ANDROUTSOPOULOS,et al., An Experimental Comparison of Naive Bayesian and Keyword-based Anti-spam Filtering with Personal E-mail Messages, Proceedings of the 23rd ACM SIGIR Conference, 2000, pp. 160-167.	
/F.T./		P. PANTEL, et al., SpamCop: A Spam Classification & Organization Program, In Proc. AAAI-1998 Workshop on Learning for Text Categorization, 1998, 8 pages.	
/F.T./		G. MANCO, et al., Towards an Adaptive Mail Classifier, In Proc. of Italian Association for Artificial Intelligence Workshop, 2002, 12 pages.	
/F.T./		CORMAC O'BRIEN, et al., Spam Filters: Bayes vs. Chi-squared; Letters vs. Words, Proceedings of the 1st international symposium on Information and communication technologies, 2003, pp.291-296, Dublin, Ireland.	
/F.T./	CUE DALTED and Differential Court of the Cou		
/F.T./		LORRIE FAITH CRANOR, et al., Spaml, Communications of the ACM, 1998, pp. 74-83, Vol. 41-No. 8.	-

1				
	Examiner		Date	00/00/0007
	Signature	/Fatoumata Traore/	Considered	09/20/2007

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of Information is required by 37 CFR 1.98. The Information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form anti/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

	te for form 1449/PTO		X of 1000, no persons at	Complete if Known		
SUP	PLEMENT	<b>AL</b>		Application Number	10/809,163	
INF	ORMATIO	N DIS	CLOSURE	Filing Date	March 25, 2004	
STA	STATEMENT BY APPLICANT			First Named Inventor	Joshua T. Goodman	
	(Use as many sh	eets as n	ececand	Art Unit	2131	
			occussary)	Examiner Name	Unknown	
Sheet 7 of 7			7	Attorney Docket Number	MS305314.1/MSFTP596US	

Examiner	Cite	NON PATENT LITERATURE DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of	1		
Initials*	No.1	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			
/F.T./		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans, International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, 2000, pp. 418-423.			
/F.T./		S. LI et al., Secure Human-Computer Identification against Peeping: A Survey, Microsoft Research, 2003, 53 pages.			
/F.T./		D.A. TURNER et al., Controlling Spam through Lightweight Currency, In Proc. of the Hawaii International Conference on Computer Sciences, January 2004, 9 pages.			

	<del></del>		
Examiner	/Estaumata Tracro/	Date	00/00/0007
Signature	/Fatoumata Traore/	Considered	09/20/2007
<del></del>			

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Considered. Include copy or rist form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08A (08-03)

PTO/SB/08A (U8-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Tradement Office; U.S. DEPARTMENT OF COMMERCE
work Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

Complete if Known **Application Number** 10/809,163 March 25, 2004 Filing Date First Named Inventor Joshua T. Goodman, et al. Art Unit 2131 Unknown **Examiner Name** MS305314.01/MSFTP596US Attorney Docket Number

			U. S. PATEN	T DOCUMENTS	
Examiner Initials	Cite No.1	Document Number  Number-Kind Code <sup>2</sup> (# known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	<u> </u>	US- 6,112,227	08-29-2000	Heiner	
/F.T.	_	<sup>US-</sup> 6,199,102	03-06-2001	Cobb	
/F.T./ /F.T./	<del>                                     </del>	us- 2003/204569	10-30-2003	Andrews, et al.	
		US-			
		US-			
		US-			
	1	US-			
		US-			
	ļ .	US-			
		US-			
	7	US-			

		FORE	GN PATENT DOCU	IMENTS	<u> </u>	-
Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	T0
	''`	Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (# known)	MM-DD-YYYY		Or Relevant Figures Appear	<u>                                     </u>
/ET/		EP 1376427	03-26-2003	Microsoft Corporation		
<i>/</i>						╟
						╄═┩
						+
	<u> </u>			<u> </u>		-
1	1	•	l'	1		

<del></del>		Date	
Examiner	l	Considered	09/20/2007
Signature	/Fatoumata Traore/	00113130100	1 03/20/2001

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at <a href="https://www.usplo.gov">www.usplo.gov</a> or MPEP 901.04. ³ Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ³Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁴ Applicant is to place a check mark here if English language

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known ADE Horm 1449/PTO **Application Number** 10/809,163 SUPPLEMENTAL Filing Date March 25, 2004 INFORMATION DISCLOSURE STATEMENT BY APPLICANT First Named Inventor Joshua T. Goodman, et al. Art Unit 2131 (Use as many sheets as necessary) Unknown

Examiner Name

**Attorney Docket Number** MS305314.01/MSFTP596US Sheet 2 2 of

		NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					
/F.T./		European Search Report, EP31087TE900, mailed 11-11-04					
/F.T./		J. BYRNE, My Spamblock, Google, January 19, 1997, 2 pages					
/F.T./		D. F. SKOLL, How to Make Sure a Human is Sending You Mail, Google, November 17, 1996, 2 pages					
/F.T./		L. M. BOWMAN, Hotmail Spam Filters Block Outgoing E-Mail, CNET NEWS.COM, January 18, 2001, 3 pages					
	1						
	1						
11 -							

Examiner   Date 09/20/2007   Signature   /Fatoumata Traore/   Considered					
/Fatoumata Iragre/   Considered	١	Everniner		Date	09/20/2007
Signature Considered Considered		Examino	/Estoumata Traore/	Cido-od	00/20/2001
		Signature	// aloumala madie/	Considered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO This collection of information. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including to process) an application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449/PTO 10/809,163 March 25, 2004 **Application Number** SUPPLEMENTAL Filing Date INFORMATION DISCLOSURE First Named Inventor Joshua T. Goodman, et al. STATEMENT BY APPLICANT Art Unit 2131 Unknown (Use as many sheets as necessary) **Examiner Name** MS305314.01/MSFTP596US Attorney Docket Number Sheet

			U. S. PATENT	DOCUMENTS	1 .
Examiner Initials*	Cite No.1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	<u> </u>	Number-Kind Code <sup>2</sup> (F known)		<u> </u>	
/F.T./	l	<sup>US-</sup> 2003/088627	05-08-2003	Rothwell, et al.	
		US-			
	1	U\$-			
	$\dagger$	US-			
	1	US-			
	1	US-			
	<b>—</b>	US-			
	†	US-			
	1	US-			
	<del>                                     </del>	US-			
	$\top$	US-		·	
		US-			
	+	US-	_		
	+-	us-			

		FORE	IGN PATENT DOCU	IMENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
muois	, , , ,	Country Code <sup>3 "Number 4"</sup> "Kind Code <sup>3</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	L
/F.T./		WO 02/071286	09-12-2002	MessageLabs, Ltd.		<u>_</u>
						<b> -</b> -
					<u> </u>	₩
			·			╄
						₽
					1	L.

Examiner		Date	00/00/007
Signature	/Fatoumata Traore/	Considered	09/20/2007
- 0		 	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \*Applicant's unique citation designation number (optional). \*See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. \*Senter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \*For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \*Skind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \*Applicant is to place a check mark here if English language

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

MAR 3 1 2005 🖫

03/31/2005

PTO/SB/08B (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

ne Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DANE!	e for form 1449/PTO		•		Complete if Known		
	PLEMENTA	L		Application Number	10/809,163		
INFO	RMATION	DIS	CLOSURE	Filing Date	March 25, 2004		
STATEMENT BY APPLICANT				First Named Inventor	Joshua T. Goodman, et al.		
		, <b>.</b>		Art Unit	2131	_	
	(Use as many she	ets as n	ecessary)	Examiner Name	Unknown		
Sheet	2	of	2	Attorney Docket Number	MS305314.01/MSFTP596US		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/F.T./		YU WU, et al., A New Anti-Spam Filter Based on Data Mining and Analysis of Email Security, Conference Proceedings of the SPIE, Data Mining and Knowledge Discovery Theory, Tools and Technology V, vol. 5098, 21 April 2003, pp. 147-154, Orlando, FL, USA	
/F.T./		MASSEY, B., et al., Learning Spam: Simple Techniques for Freely-Available Software, Proceedings of Freenix Track 2003 Usenix Annual Technical Conference, Online!, 9 June 2003, pp. 63-76, Berkley, CA, USA	
/F.T./		GRAHAM, P., The Future of Spam, Computer Security Journal, CSI Computer Security Institute, vol. 19, no. 1, January 2003, pp. 1-5	
/F.T./		GRAHAM, P., A Plan for Spam, Online!, August 2002, XP002273602, http://www.paulgraham.com/spam.html, retrieved on 2004-03-12	

Examiner	/Fatoumata Traore/	Date	00/00/0007
Signature	ri atouttata Traorer	Considered	09/20/2007

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of Information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

### JAN 2 0 2006

PTC/SB/08a (08-05)
Approved for use through 07/31/2006. OMB 0851-0331
U.S. Parent and Tredemerk Office; U.S. DEPARTMENT OF COMMERCE
D.a.collection of Information unless it contains a valid OMB control number. Under the Papprwork Reduction Act of 1995, no persons are reculted to re Complete if Known Substitute for form 1448A/PTO SUPPLEMENTAL Application Number 10/809,163 Filing Date INFORMATION DISCLOSURE 03-25-2004 First Named Inventor STATEMENT BY APPLICANT Joshua Goodman Art Unit 2131 Examiner Name (Use as many cheets as necessary) Altomey Docket Number MS305314.01/MSFTP596US Sheet

Examber	CIE	Dogument Mussler	U. S. PATENT		
initals.	No.	Document Number  Number-Kind Code <sup>3 (7 Anne)</sup>	Publication Date MM-DD-YYYY	Name of Patenties of Applicant of Citod Document	Pages, Columna, Unea, Where Relevant Passages or Relevant Figures Appear
/F.T.	L	Ú9- 6,074,942	Stockwell, et al.	06-06-2000	<del></del>
		US- 6,199,102	Собь	03-06-2001	<del> </del>
<del>- /F.T</del> ., - /F.T./		US- 6,477,551	Johnson, et al.	11-05-2002	
/F T /		US- 6,101,531	Eggleston, et al.	08-08-2000	
<i>_I</i> F_I_ <i>I</i>		US- 5,884,033	Duvall, et al.	03-16-1999	
JE.T.L		US- 6,484.261	Wiegel	11-19-2002	
		US-			· · · · · · · · · · · · · · · · · · ·
		US-			
		Us-			
		US-			
		US		1	
		US-		<del>  </del>	··· <del>·</del>
		US-	<del>†</del>	- <del></del>	
		US-	<b>-</b>	<del>  -</del>	<del></del>
~		US-	<del> </del>		

	FOREIGN PATENT DOCUMENTS							
Examiner Iniliate*	Cile No.1	Foreign Patent Document  Caustry Code <sup>3</sup> Waster <sup>4</sup> Kind Code <sup>5</sup> (# known)	Publication Date MM-DD-YYYY	Name of Palantee or Applicant of Clied Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear	T <sup>4</sup>		
·			· · · · · · · · · · · · · · · · · · ·	······································				
						1 1		

Examiner Signature	/Fatoumata Traore/	Date Considered	09/20/2007

AMINER: Initial if reference considered, whother or not cliation is in conformance with MPEP 609. Draw line through cliation if not in conformance and no considered. Include copy of this form with next communication to applicant. 1 Applicants unique citation designation number (optional). 2 See Kinds Codes of USPTO Petent Documents at www.ispto.gov or MPEP 901.04. 3 Enter Office that Isaued the document, by the two-tester code (WIPO Standard ST.3), 4 For Japanese palani documents, the indication of the year of the reign of the Emperor must precede the serial number of the palant document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. 5 Applicant is to place a check mark here if English tanguage

This collection of information is required by \$7 CFR 1.97 and 1.88. The information is required to obtain or retain a bonefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Three will very depending upon the individual case. Any comments on the amount of time you require to complete that form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patent and Tradament Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08b (08-03)
Approved for use through 08/30/2008. OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to reapond to a collection of information unless it contains a valid OMB control number.

Complete if Known Substitute for form 1449B/PTO Application Number SUPPLEMENTAL 10/809,163 Filing Date INFORMATION DISCLOSURE 03-25-2004 First Named Inventor STATEMENT BY APPLICANT Joshua Goodman Art Unit 2131 (Lise as many sheets as necessary) Examiner Name Atterney Docket Number | MS305314.01/MSFTP596US Sheek of

		NON PAYENT LITERATURE DOCUMENTS							
Examiner Initials Cite No. Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, and/or country where published.									
/F.T./		Written Opinion of the International Preliminary Examining Authority mailed November 30, 2005 for PCT/US03/41526, 5 pages.							
- 1 TOTAL - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 -									
	.,								
	····								
) ( )									

		<del></del>	
Examina Signatu	/Fatoumata Traore/	Date Considered	09/20/2007

<sup>&</sup>quot;EXAMINER; initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not

<sup>\*</sup>EXAMPLER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Oraw line through custom it not no commitmence and not considered, include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of Information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a banefit by the public which is to file (and by the USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete file form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Tradomark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

#### RECEIVED CENTRAL FAX CENTER

Ø003/003

FEB 2 7 2006

PTC/SB/08a (08-03)
Approved for use through 07/31/2008, OMB 0651-0031
Patent and Trademark Ordica: U.S. DEPARTMENT OF COMMERCE

Subslitu	te for form 1449A/PTO			Co	Complete If Known		
SUP	PLEMENTAL			Application Number	10/809,163		
INF	ORMATION D	ISCLOSU	RE	Filing Date	03-25-2004		
STA	TEMENT BY	APPLICA	TV	First Named Inventor	Joshua Goodman		
			••	Art Unh	2131		
	(Use as many shoots	as necessary)		Examiner Name			
Sheet	1	of	1	Attamey Docket Number	MS305314.01/M\$FTP596US		

Examinar IniVals*	Cite No.	Number-Kind Code <sup>2 (Finance)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Peges, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/F T	,	US- 6,971,023	11-29-2005	Markinson, et al.	
/F,T,/		U\$- 6.775,704	08-10-2004	Watson, et al.	
JET		US- 6,505,250	01-07-2003	Freund, et al.	· · · · · · · · · · · · · · · · · · ·
/[		US- 6,047,242	04-04-2000	Benson .	
/F.†./		US- 6,732,273	05-04-2004	Вуста	
IE T I		US- 6,393,465	05-21-2002	Loods	
<del>и . т., .</del>		U\$- 6,546,416	04-08-2003	Kirsch	
作王士		US- 6,330,590	12-11-2001	Cotten	
		US-			
		US-		1	
		US-			
		US-			<u>-</u>
		US-	**		
		US-			
		US-			
*******		US-			
		us-			
		US-		1	

		JMENTS				
Examiner	Cite	Foreign Patent Document	Publication Date	Name of Patentee or	Pages, Columns, Lines, Where Relevent Pessages	
Initials*	No.'	Country Code <sup>3</sup> Number 10nd Code <sup>3</sup> (7 Innovn)	Applicant of Cited Occument	Where Relevant Passages or Relevant Flaures Appaar	"	
						$\Box$
				100 TWO 07 CO   100 F 17 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0		П

Examiner Signature	, /Fatoumata Traore/	Data Considered	09/20/2007

\*EXAMINER: Initial if reference considered, whether or not clistion is in conformance with MPEP 609. Oraw tine through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique cliation designation number (options). 2 See Kinde Codes of USPTO Patent Occuments at <u>www.iscin.gov</u> or MPEP 801.04, 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, in inclication of the year of the raign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

Translation is attachor.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, beliefing 51/transp, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual cass. Any comments on the amount of time you require to complete this form surdor suggestores for rectucing this burden, should be sent to the Chief Information Officer, U.S. Patient and Tratemark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patients, P.O. Box 1450, Alexandria, VA 22313-1450.

#### MAR 2 1-2006

PTO/SB/08e (08-03)
Approved for use through 07/31/2008. OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

	nder the Panerwork Reduction Act of 1995. Substitute for form 1448A/PTO	DO DEC	iona are required to re	Complete if Known				
	SUPPLEMENTAL		•	Application Number	10/809,163			
	<b>INFORMATION DISC</b>	CLO	SURE	Filing Date	03-25-2004			
	STATEMENT BY AP			First Named Inventor	Joshua Goodman			
		. –		Art Unit	2131			
	(Use ee many sheets as nec	:05 <del>52</del> /y	<b>)</b>	Examiner Name				
She	el 1	of	2	Attorney Docket Number	MS305314.01/MSFTP596US			

Examiner Initials	Cite No.	Document Number: Number-Kind Code <sup>2 (Flacout)</sup>	U. S. PATENT Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/F.J.L		US- 6,052,709	04-18-2000	Paul	
حبائد لبنا لــــا		US-		1	
		US-			
		US-			
	╁──	US-		·	
	<del> </del>	US-			
	1-	US-	<u> </u>		
	·	US-			
	1	U\$-			· · · · · · · · · · · · · · · · · · ·
<del></del>	<b>†</b>	US-	·		
<del></del>	t	US-	1		
	<del> </del>	US-			· · · · · · · · · · · · · · · · · · ·
	<b>†</b>	US-1" ""	·		
<del></del> -	1-	Ü\$-			
		US-	1		
	1	U\$-	_		
	+-	US-			
	+-	US	<del>                                     </del>		

		FOREIGN F	ATENT DOCL	MENTS		_
Exeminer initials	Cile No.'	Foreign Patent Document  Country Code <sup>3</sup> Number * 19nd Code <sup>3</sup> (Filmern)	Publication Date MM-QD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Unes, Where Relevant Passages or Relevant Figures Appear	70
						$oxed{oxed}$
			,	* * * * * * * * * * * * * * * * * * *		+

	<u> </u>		
Exeminer		Oate	
Signature	/Fatoumata Traore/	Considered	1 09/20/2007
	ii albuiilala iiabiei		03/20/2001

"EXAMINER: Initial if reherence considered, whether or not citation is in conformance with MPEP 809. Draw line through cliation if not in conformance and not considered. Include copy of this form with next communication to applicant. I Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at <a href="https://www.usutn.com/preps/">www.usutn.com/preps/</a> or MPEP 901.04, 3 Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japenese patent documents, the indication of the year of the reign of the Emperor must precede the sortal number of the patent document. 5 Kind of document the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. 6 Applicant is to place a check mark here if English tanguage translation is attached.

This collection of Information is required by 37 CFR 1.97 and 1.98. The Information is required to obtain or retain a benefit by the public which is to fits (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gethering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of limb you require to complete this form and/or suggestions for reducing this turden, should be sent to the Chief Information Officer, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450, DO NOY SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

#### RECEIVED CENTRAL FAX CENTER

Ø004/006

## MAR 2 1 2006

PTC/SB/08\ (08-03)

Approved for use through 08/30/2008. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paporwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for	r form 1449B/PTO			Complete if Known				
				Application Number	10/809,163			
INFO	RMATION I	DISCLO	SURE	Filing Date	03-25-2004			
STAT	EMENT BY	APPLIC	CANT	First Named Inventor	Joshua Goodman			
				Art Unit	2131			
	(Use as many sheet	s as nocessary)		Examiner Name				
Sheel	2	of	2	Attorney Docket Number	MS305314.01/MSFTP596US			
 				<del></del>				

		NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), tille of the article (when appropriate), tille of the item (book, magazine, journal, serial, symposium, calalog, etc.), date, page(9), volume-issue number(9), publisher, city and/or country where published.  International Search Report dated January 17, 2006, mailed January 31, 2006, for PCT Application Serial No. PCT/US04/05501, 2 Pages.						
·/F.T	.1.							
***************************************								
, mp = 0.1 = mpm								
**************************************	<del>                                     </del>							

Date Considered	09/20/2007

EXAMINER: Initial if reference considered, whether or not distion is in conformance with MPEP 609. Draw tine through distinct in on in conformance and not considered, include copy of this form with next communication to applicant.

Applicant's unique distinct designation number (optional). 2 Applicant is to piece a check mark here if English language Translation is ottached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or relate a benefit by the public which is to fits (and by the USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to lake 2 hours to complete, including gethering, propering, and submitting the completed application form to the USPTO. Time with vary departing upon the Individual case. Any commands on the amount of time you require to complete this form end/or suggestions for reducing this burden, should be sent to the Chief Information Officar, U.S. Paterd and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

05/11/2003

PTO/SB/08a (08-03)
Approved for use through 07/31/2006. OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

	Application Number	10809163	
	Filing Date	2004-03-25	
INFORMATION DISCLOSURE	First Named Inventor J	loshua Goodman	
STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99)	Art Unit	2131	
(Not lot bubinesis and or or it has)	Examiner Name		
	Attorney Docket Number	MS305314.01/MSFTP596US	

	U.S.PATENTS Remove										
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue D	ate	of cited Document			Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear		
/F.T./	1	6615242		2003-09	)-02	Riemers					
If you wis	h to ac	ld additional U.S. Pater	t citatio	n inform	ation pl	ease click the	Add button.		Add		
	•	,	U.S.P.	ATENT	APPLIC	CATION PUBL	ICATIONS		Remove		
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publica Date	tion	Name of Pate of cited Docu	entee or Applicant ment	Releva		Lines where es or Relev	
/F.T./	1	20030041126		2003-02	2-27	Buford, et al.		·			
/F.T./	2	20030088627		2003-05	5-08	Rothwell, et al.					
If you wis	h to ac	dd additional U.S. Publi	shed Ap	plication	citation	n information p	lease click the Ad	d buttor	1. Add		
				FOREIG	SN PAT	ENT DOCUM	ENTS		Remove		
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	-			Publication Date	Name of Patente Applicant of cited Document	e or	where Rele	or Relevant	T5
	1										
If you wis	h to a	dd additional Foreign Pa	atent Do	cument	citation	information pl	ease click the Add	button			
			ИОИ	I-PATE	NT LITE	RATURE DO	CUMENTS		Remove		

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number	10809163
Filing Date	2004-03-25
First Named Inventor	Joshua Goodman
Art Unit	2131
Examiner Name	
Attorney Docket Numb	er MS305314.01/MSFTP596US

Examiner Initials*	Cite No	(book, n	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.							
/F.T.	, 1	Europea	European Search Report dated April 6, 2006 and mailed April 6, 2006 for EP 04102242, 3 pages.							
/F.T./	2	GRAHA	RAHAM. "The Future of SPAM" (2003) Computer Journal, CSI Computer Security Institute, vol. 19, no. 1, 6 pages.							
If you wis	h to a	dd additio	onal non-patent literature document citation information please click the Ad	button Add						
			EXAMINER SIGNATURE							
Examiner	Signa	iture	/Fatoumata Traore/ Date Considered	09/20/2007						
*EXAMIN citation if	ER: Ir not in	itial if ref	erence considered, whether or not citation is in conformance with MPEP 60 ance and not considered. Include copy of this form with next communication	9. Draw line through a n to applicant.						
Standard S	Γ.3). <sup>3</sup> f cument	For Japane: by the app	Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the docu se patent documents, the indication of the year of the reign of the Emperor must precede the propriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Apply a sattached.	serial number of the patent do	cument					

PTC/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

•	Application Number		10809163	
	Filing Date		2004-03-25	
INFORMATION DISCLOSURE	First Named Inventor	Named Inventor Joshua T. Goodman		
STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Art Unit		2131	
(Not for submission under 57 Of K 1.99)	Examiner Name			
	Attorney Docket Number		MS305314.01/MSFTP596US	

U.S.PATENTS Remove									
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear			
/F.T./	1	6742047		2004-05-25	Michael Man-Hak Tso				
/F.T./	2	6314421		2001-11-06	Sharnoff, et al.				
/F.T./	3	6421709		2002-07-16	McCormick, et al.				
/F.T./	4	6321267		2001-11-20	Albert L. Donaldson				
/F.T./	5	6701440		2004-03-02	Kim, et al.	· .			
/F.T./	6	6167434		2000-12-26	Stephen Y. Pang				
/F.T./	7	6732157		2004-05-04	Gordon, et al.				
/F.T./	8	6643686		2003-11-04	Robert J. Hall				

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99) .

Application Number		10809163	
Filing Date		2004-03-25	
First Named Inventor	Josi	nua T. Goodman	
Art Unit		2131	<del></del>
Examiner Name			•
Attorney Docket Number		MS305314.01/MSFTP596US	

/F.T./	9	6928465		2005-08-09	Jerry Brett Earnest					
If you wish to add additional U.S. Patent citation information please click the Add button.										
	U.S.PATENT APPLICATION PUBLICATIONS  Remove									
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear				
/F.T./	1	20010046307	A1	2001-11-29	Ping Wah Wong					
/F.T./	2	20020073157	A1	2002-06-13	Newman, et al.	•				
/F.T./	3	20040199594	A1	2004-10-07	Radatti, et al.					
/F.T.	4	20020091738	A1	2002-07-11	Rohrabaugh, et al.					
/F.T.	5	20040073617	A1	2004-04-15	Milliken, et al.					
/F.T./	6	20030229672	A1	2003-12-11	Daniel Mark Kohn					
/F.T.,	7	20050015455	A1	2005-01-20	Gary G. Liu					
If you wis	h to a	dd additional U.S. Publi	shed Ap	plication citatio	n information please click the Ad					
				FOREIGN PA	TENT DOCUMENTS	Remove				

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

·						
Application Number		10809163				
Filing Date		2004-03-25				
First Named Inventor Joshu		a T. Goodman				
Art Unit		2131				
Examiner Name						
Attorney Docket Number		MS305314.01/MSFTP596US				

Examiner Initial*	Cite No	Foreig Numbe	n Document er <sup>3</sup>	Country Code <sup>2</sup> j	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T5	
	1									
If you wis	h to ac	dd addit	ional Foreign P	atent Document	citation	information pl	ease click the Add buttor	Add		
			<del></del>	NON-PATE	NT LITE	RATURE DO	CUMENTS	Remove		
Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.								
	1		:		,					
If you wis	h to a	dd addii	tional non-pater	nt literature docu	ment cit	tation informat	on please click the Add I	outton Add		
				EX	AMINE	R SIGNATUR	E			
Examiner	Signa	ature	/Fato	umata Traore/			Date Considered	09/20/2007		
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.										
Standard S	<sup>1</sup> See Kind Codes of USPTO Patent Documents at <a href="https://www.USPTO.GOV">www.USPTO.GOV</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.									

11/29/2006

/F.T./

/ C. I. /
PTO/SB/08a (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE	Application Number		10809163	
	Filing Date		2004-03-25	
	First Named Inventor Joshu		nua T. Goodman	
STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Art Unit		2131	
(Not for submission under 57 Of K 1.35)	Examiner Name Unknown		own	
	Attorney Docket Numb	er ·	MS305314.01/MSFTP596US	

			·· <u>·</u>		U.S.F	PATENTS			Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue D	ate	Name of Pate of cited Docur	ntee or Applicant ment	Releva	,Columns,Lines wher ant Passages or Rele s Appear	e vant
/F.T. <i>i</i>	1	6915334		2005-07	-05	Robert J. Hall				
If you wish	n to ac	l dd additional U.S. Pater	it citatio	n informa	ation ple	ease click the	Add button.	l	Add	
			U.S.P	ATENT	APPLIC	CATION PUBL	ICATIONS		Remove	
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publica Date	tion	Name of Pate of cited Docu	entee or Applicant ment	Releva	s,Columns,Lines wher ant Passages or Rele es Appear	
/F.T./	1	.20030009698	A1	2003-01	-09	Lindeman, et a	l.			
/F.T./	2	20060036701	A1	2006-02	?-16	Bulfer, et al.				
If you wisl	h to a	dd additional U.S. Publi	shed Ap	plication	citation	n information p	lease click the Ad	d buttor	n. Add	
·····				FOREIG	SN PAT	ENT DOCUM	ENTS		Remove	
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>	-	Kind Code <sup>4</sup>	Publication Date	Name of Patente Applicant of cited Document	e or	Pages,Columns,Line where Relevant Passages or Relevar Figures Appear	T5
	1									
If you wis	h to a	l dd additional Foreign P	atent Do	cument	citation	information pl	ease click the Ado	button	Add	
-			NOI	N-PATE	NT LITE	RATURE DO	CUMENTS		Remove	

( Not for submission under 37 CFR 1.99)

Application Number		10809163
Filing Date		2004-03-25
First Named Inventor	Joshu	a T. Goodman
Art Unit		2131
Examiner Name	Unkno	own
Attorney Docket Numb	er	MS305314.01/MSFTP596US

Examiner Initials*	Cite No	(bool	de name of the author (in CAPITAL LETTERS), title of the a k, magazine, journal, serial, symposium, catalog, etc), date, sher, city and/or country where published.			T5			
	1								
If you wish to add additional non-patent literature document citation information please click the Add button Add									
			EXAMINER SIGNATURE						
Examiner	Signa	ture	/Fatoumata Traore/	Date Considered	09/20/2007				
			reference considered, whether or not citation is in conforma rmance and not considered. Include copy of this form with r		_				
Standard S	T.3). <sup>3</sup> F cument	or Japa by the	O Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>2</sup> Enter office anese patent documents, the indication of the year of the reign of the Empe appropriate symbols as indicated on the document under WIPO Standard Son is attached.	eror must precede the ser	ial number of the patent doc	ument.			

PTO/SB/08a (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99) Application Number 10809163 Filing Date 2004-03-25 First Named Inventor Joshua T. Goodman Art Unit 2131 Examiner Name Attorney Docket Number MS305314.01/MSFTP596US

				U.S.	PATENTS		Remove	
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Releva	Columns, nt Passag Appear	Lines where ges or Relevant
	1							
If you wisl	n to ac	<u> </u> dd additional U.S. Pater	nt citation	n information p	lease click the Add button.	<u> </u>	Add	-
			U.S.P	ATENT APPL	CATION PUBLICATIONS		Remove	
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Releva		Lines where ges or Relevant
/F.T./	1	20040015554	A1	2004-01-22	Brian Wilson			
/F.T./	2	20040177120	A1 _	2004-09-09	Steven T. Kirsch			
/F.T./	3	20030167311	A <sub>1</sub> 1	2003-09-04	Steven T. Kirsch			
/F.T./	4	20040003283	A1	2004-01-01	Goodman, et al.			
/F.T./	5	20030204569	A1	2003-10-30	Andrews, et al.			
If you wis	h to a	dd additional U.S. Publi	shed Ap	·	on information please click the Ad	d button		
•				FOREIGN PA	TENT DOCUMENTS		Remove	

( Not for submission under 37 CFR 1.99)

Application Number	•	10809163	
Filing Date		2004-03-25	_
First Named Inventor	Joshi	ua T. Goodman	
Art Unit		2131	
Examiner Name			
Attorney Docket Numb	er	MS305314.01/MSFTP596US	

Examiner Initial*	Cite No	Foreig Numb	n Document er <sup>3</sup>	Country Code <sup>2</sup> j	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T5
	1								
If you wis	h to a	dd addi	tional Foreign P	atent Document	citation	information pl	ease click the Add butto	n Add	
	· · · · · · · · · · · · · · · · · · ·			NON-PATE	NT LITE	RATURE DO	CUMENTS	Remove	
Examiner Initials*  Cite No  Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.								<b>T</b> 5	
	1 .								
If you wis	h to a	dd addi	tional non-paten	t literature docu	ment ci	ation informat	ion please click the Add	button Add	
				EX	AMINE	R SIGNATUR	E		
Examiner	Signa	ture	/Fatou	mata Traore/		**************************************	Date Considered	09/20/2007	
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.									
Standard S	<sup>1</sup> See Kind Codes of USPTO Patent Documents at <a href="https://www.USPTO.GOV">www.USPTO.GOV</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.								

Sheet

10/24/2005

PTO/SB/08e (08-03)
Approved for use through 07/31/2006. OMB 0851-0031
U.S. Palent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for from 1449A/PTO
SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

No. 1, 1995, no persons are required to respond to a collection of information unless it control number.

Complete if Known

Application Number 10/809,163

Filling Data 03-25-04

First Named Inventor Joshus T. Goodman

Art Unit 2131

Examiner Name

(Use as many sheets as necessary)

Altomey Docket Number MS305314.01/MSFTP596US

			U. S. PATENT I	OCUMENTS	
Examiner Initials	Cite No.1	Document Number  Number-Kind Code <sup>2 (Farmer)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
/F T	,	US- 6.453,327	09-17-2002	Nielsen	<u> </u>
<u>/</u> E.T.		US- 6,757,830	06-29-2004	Tarbotton, et al.	
<u>"压工</u> "		US- 2002/0184315	12-02-2002	Earnest	
/E.T./		U8- 10/208,150	07-29-2002	Andaker	
	_	U\$- 09/893,941	06-28-2001	Harvitz	
- /F.T./ /E.T.		US- 10/278,591	10-23-2002	Heckerman	
/F.T./		US- 10/180,565	06-26-2002	Goodman	
		U\$- 09/497,992	02-04-2000	Mallet	
/F.T., /F.T.,		US- 10/291,260	11-08-2002	Burows	
/F.T./		US- 2002/199095	12-26-2002	Bandini, et al.	
- <del>//-</del>		US-		<u> </u>	
	1	US-			
	<b>-</b>	vs-			
	_	U\$-			<u> </u>
	$\vdash$	US-			
	<del>                                     </del>	US-			<u> </u>
		US-	•		<del> </del>
	T	U8-			

	FOREIGN PATENT DOCUMENTS									
Examiner Initials*	Cite No.1	Foreign Patent Document  Country Cade * Number * Nand Code * (# known)	Publication Data MM-DD-YYYY	Name of Patentse or Applicant of Cited Document	Pegas, Columns, Linea, Where Relevant Passages or Relevant Figures Appear	7*				
/F T	,—	WO 2004/059506	07-15-2004	Commitqueh Software, Ltd.		┡				
/E.I.,	<b>—</b> —	EP1376427 A3	01-02-2004	Microsoft Corporation		╙				
/F.T./		EP1376427 A2	01-02-2004	Microsoft Corporation		_				
						╄				
,, <u>,,,,,,,,,,,,,,,,,</u> ,,,,,,,,,,	<del> </del>				<u> </u>	丄				

Examiner /Fatoumata Traore/ Date Considered 09/20/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include capy of this form with next communication to applicant. 1 Applicant's unique distinct designation number (optional). 2 See Kinds Codes of Custo Documents at <a href="https://www.upric.new.or-MPEP-801.04">https://www.upric.new.or-MPEP-801.04</a>. 3 Enter Office that issued the document, by the two-foliar code (WIPO Standard ST.3). 4 For Lispanese patent documents; the braication of the year of the reign of the Emperor must precede the sortal number of the patent document. 3 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. 8 Applicant is to place a check mark here if English tanguage

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the This collection is required by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete USPTO to process) an application. Confidentially is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete he completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Crite Information Officer, U.S. Patent on the smooth office, U.S. Openiment of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, cell 1-800-PTO-9199 and select option 2.

PTO/SB/08b (08-03)

Approved for use through 06/30/2006, OM8 0551-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unloss it contains a valid OM8 control number.

	(Us	e as many sheeta	ss necustary)		Art Unit Examiner Name	2131		
	<b>O</b> ,, <u>-</u> .	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			Art Unit	2131		
	STATE	MENT BY	APPLI(	CANT	First Named Inventor	Joshua T. Goodman	_	
1	INFORM	AATION D	ISCLOS	SURE	Filing Date	03-25-04		
		MENTAL			Application Number	10/809,163		
s	ubstitute for form	n 1449B/PTO			1	Complete If Known		

NON PATENT LITERATURE DOCUMENTS								
Examiner Initials*	""" VIIO I							
/F.T.	,	BREIMAN, FRIEDMAN, OLSHEN, and STONE. "Classification and Regression Trees." Wadsworth & Brooks, Monterey, CA (1984).						
/F.T./	**************************************	QUINLAN. "c4.5; Programs for Machine Learning." Morgan Kaufmann, San Francisco, CA (1993).	 					
/F.T./		HAYES, BRIAN. "Spare, Spare, Lovely Spare." American Scientist Online, June 30, 2003. Pgs. 1-6. vol. 91.						
/F.T./		Partial European Search Report, EP05100847, mailed 06-21-05, 5 pages.						
/F.T./		European Search Report, dared June 9, 2005, mailed August 22, 2005 for European Patent Application Serial No. EP04011978, 12 pages.						
			_					
······································								
,	<b>†</b>							

Examiner Signature	/Fatoumata Traore/	Date Considered	09/20/2007

\*EXAMINER: Initial II refusence considered, whether or not clistion is in conformance with MPEP 609. Draw line through clistion if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique clistion designation number (optional). 2 Applicant is to place a check mark here if English language Translation is estached.

This collection of Information is required by 37 CFR 1.97 and 1.98. The Information is required to obtain or retain a benefit by the public which is to 68 (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is astimated to take 2 hours to complete the tradeling gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the Individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patant and Trademark Office, U.S. Department of Commune, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need estilatance in completing the form, call 1-800-PTO-9199 and select option 2.

07/3/12006

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

	Application Number	10809163	
	Filing Date	2004-03-25	
INFORMATION DISCLOSURE	First Named Inventor Jos	hua Goodman	
STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Art Unit	2131	
(Not for Submission under 57 51 K 1.55)	Examiner Name		
	Attorney Docket Number	MS305314.01/MSFTP596US	

	U.S.PATENTS Remove										
						ATENTO					
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue D	ate	Name of Pate of cited Document	entee or Applicant ment	Releva		Lines where es or Relev	
	1										
If you wish to add additional U.S. Patent citation information please click the Add button.  Add  Add											
	U.S.PATENT APPLICATION PUBLICATIONS Remove										
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publica Date	tion	Name of Pate of cited Docu	entee or Applicant ment	Releva		Lines where les or Relev	
/F.T./	1 .	20020199095		2002-12	2-00	Bandini, et al.					
/F.T./	2	20030204569		2003-10	)-00	Andrews, et al	l. ·				-
/F.T./	3	20030009698		2003-01	1-00	Lindeman, et a	ál.				
If you wis	h to a	dd additional U.S. Publi	shed Ap	plication	citation	n information p	lease click the Ad	d button	Add		
		,		FOREIG	IA9 NE	ENT DOCUM	ENTS		Remove		
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>		Kind Code4	Publication Date	Name of Patente Applicant of cited Document	e or	where Rel	or Relevant	Т5
	1										

( Not for submission under 37 CFR 1.99)

Application Number	10809163
Filing Date	2004-03-25
First Named Inventor Jo	oshua Goodman
Art Unit	2131
Examiner Name	
Attorney Docket Number	MS305314.01/MSFTP596US

If you wis	h to ac	bbs bt	litional Foreign Patent Document citation information please click the Add bu	tton Add				
			NON-PATENT LITERATURE DOCUMENTS	Remove				
Examiner Initials*	Cite No	(book	de name of the author (in CAPITAL LETTERS), title of the article (when appr k, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume sher, city and/or country where published.	opriate), title of the item ∍-issue number(s),	T5			
	1							
If you wis	h to a	bbs bb	ditional non-patent literature document citation information please click the Ac	dd button Add				
			EXAMINER SIGNATURE					
Examiner	· Signa	ture	/Fatoumata Traore/ Date Considered	09/20/2007				
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								
Standard S <sup>a</sup> Kind of do	T.3). <sup>3</sup> F ocument	For Japa by the a	O Patent Documents at <u>www.USPTO.GOV</u> or MPEP 901.04. <sup>2</sup> Enter office that issued the documents precede the documents, the indication of the year of the reign of the Emperor must precede the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Apply is attached.	e serial number of the patent do	cument.			

( Not for submission under 37 CFR 1.99)

Application Number		10809163	
Filing Date	•	2004-03-25	
First Named Inventor Joshu		a T. Goodman	
Art Unit		2131	
Examiner Name Unkn		own .	
Attorney Docket Numb	er	MS305314.01/MSFTP596US	

NON-PATENT LITERATURE DOCUMENTS Remove										
Examiner Initials*	Cite No	I (DOOK MAGAZINE JOURNAL SERIAL SYMNOSIUM CATAION ETC.) DATE DAGES(S) VOIUME-ISSUE DUMPER(S)								
	1		,	·	·	÷	. •			
If you wish to add additional non-patent literature document citation information please click the Add button Add										•
					EXAMI	NER SI	GNATURE			
Examiner	Signa	ture		/Fatoumata	Traore/			Date Considered	09/20/2007	
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.										
<sup>1</sup> See Kind Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.										

( Not for submission under 37 CFR 1.99)

Application Number		10809163		
Filing Date		2004-03-25		
First Named Inventor Joshu		ua T. Goodman		
Art Unit		2131		
Examiner Name Unkn		own .		
Attorney Docket Numb	er	MS305314.01/MSFTP596US		

	CERTIFICATION STATEMENT							
Plea	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):							
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).							
OR	}							
×	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).							
	See attached ce	rtification statement.						
	Fee set forth in 3	37 CFR 1.17 (p) has been submitted herewith	<b>1.</b>					
×	None							
SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.								
Sigi	nature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2007-08-23				
Nar	ne/Print	Himanshu S. Amin	Registration Number	40894				

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

#### **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- 1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a
  court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement
  negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

( Not for submission under 37 CFR 1.99)

Application Number		10809163		
Filing Date		2004-03-25		
First Named Inventor	Joshu	a T. Goodman		
Art Unit		2131		
Examiner Name		·		
Attorney Docket Number		MS305314.01/MSFTP596US		

	CERTIFICATION STATEMENT								
Plea	ase see 37 CFR 1	.97 and 1.98 to make the approp	riate selection(s):						
X	from a foreign p		nformation disclosure statement was eign application not more than three 97(e)(1).						
OR	OR								
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).								
	See attached ce	rtification statement.		٠.					
	Fee set forth in	37 CFR 1.17 (p) has been submit	ted herewith.						
×	None	•	CIONATURE	•					
	SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.								
Sig	nature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2007-03-19					
Nar	ne/Print	Himanshu S. Amin	Registration Number	40894					
			:						

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

#### Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a
  court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement
  negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

( Not for submission under 37 CFR 1.99)

Application Number		10809163	
Filing Date		2004-03-25	
First Named Inventor Joshu		a T. Goodman	
Art Unit		2131	
Examiner Name	Unkne	own	
Attorney Docket Number		MS305314.01/MSFTP596US	

	CERTIFICATION STATEMENT								
Plea	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):								
	•	•							
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).								
OR	OR								
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).								
	See attached ce	rtification statement.			·				
	Fee set forth in 3	37 CFR 1.17 (p) has been sul	bmitted herewith	1.	·				
×	None			•					
SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.									
Sigi	nature	/Himanshu S. Amin/		Date (YYYY-MM-DD)	2007-05-10				
Nar	ne/Print	Himanshu S. Amin		Registration Number	40894				
		,							

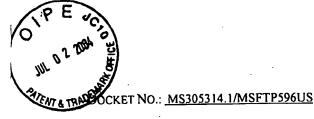
This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

#### **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- 2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.





## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent app	ication of
Applicant: Serial No.: Filed: For: Art Unit: Examiner:	Joshua T. Goodman, et al. 10/809,163 March 25, 2004 TRAINING FILTERS FOR IP ADDRESS AND URL LEARNING 2131 Unknown
	INFORMATION DISCLOSURE STATEMENT
Commissioner fo Alexandria, Virg	r Patents inia 22313-1450
Sir:	
patents, publicati except for: (a) p	to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the ons and other information listed on the attached PTO-1449. A copy of each listed document is enclosed ending applications or (b) those previously cited or submitted to the Office in the following application(s) application relies for an earlier filing date under 35 U.S.C. 120; or (c) U.S. Patent(s) and published nce the subject application was filed after June 30, 2003.
Serial No.: Filing Date:	<u></u>
Applicant(s) bel	ocument, publication or other information for which a date is not given on the attached PTO-1449, eve(s) the same may qualify as "prior" art to this application and should be treated accordingly, although erve(s) the right to contest the prior art status of any document, publication or information, should issue arise.
2. Regardin Statement as ind following docum	g each listed document that is not in the English language, an English-language translation accompanies this icated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the nent(s):
(a)C	opy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
(b)A	ttachment entitled "Concise Explanation of Relevance of Non-English Language Documents".
3. Pursuant	to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):
(a)	Within 3 months of the filing date or date of entry into the National Stage.
(b) <u>X</u>	Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.

	(c)	After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
	(1)	_ The required certification is given below, or
	(2)	Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or
	(3)	Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063.
	(d)Aí	fter the mailing date of either a final action or a notice of allowance, but before payment of the issue fee.  Petition hereby is made for consideration of this Statement and the required certification is indicated below
	(1)	Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or
	(2)	Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 50-1063.
4.	Certificat	on (if applicable)
	(a)	The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
	(b)TI	the undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.
5.	The Common No. 50-10	missioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account 063.
	•	Respectfully Submitted,
		By Orber L. Vocal  Jeffrey R. Sadlowski Reg. No. 47,914
		onal City Center
1900 I Clevel	East 9 <sup>th</sup> Stream, Ohio 696-8730	pet .
		CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8
		fy that this correspondence (along with any paper referenced as being attached or enclosed) is being below date with the United States Postal Service with sufficient postage as first class mail in an envelope

addressed to Commissioner for Patents, Alexandria, Virginia 22313-1450.

6-28-2004

PTO/SB/08A (04-03)
Approved for use through 04/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Sheet 1

#### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known			
Application Number	10/809,163		
Filing Date	March 25, 2004		
First Named Inventor	Joshua T. Goodman		
Art Unit	2131		
Examiner Name	Unknown		
Attorney Docket Number	MS305314.1/MSFTP596US		

				DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number .  Number-Kind Code <sup>2 (2 known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		<sup>US-</sup> 6,732,149	05-04-2004	Kephart	
		<sup>US-</sup> 6,728,690	04-27-2004	Meek et al.	
		<sup>US-</sup> 6,691,156	02-10-2004	Drummond et al.	
		<sup>US-</sup> 6,684,201	01-27-2004	Brill et al.	
		<sup>US-</sup> 6,592,627	07-15-2003	Agrawal et al.	
	1	<sup>US-</sup> 6,484,197	11-19-2002	Donohue	
		US- 6,424,997	11-23-2002	Buskirk Jr. et al.	
***************************************		us- 6,266,692	07-24-2001	Greenstein	
***************************************	1	<sup>US-</sup> 6,192,360	02-20-2001	Dumais et al.	
	T	<sup>US-</sup> 6,161,130	12-12-2000	Horvitz et al.	
		US-			
	<b> </b>	US-			
	1	US			
	<del>                                     </del>	US-			
	<del> </del>	US-			
	<del>                                     </del>	US-	·		
	1	US-			
·	<b></b>	US-			
······································	<del> </del>	us-			

		FORE	IGN PATENT DOCU	MENTS		
Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>8</sup> ( <i>if known</i> )	MM-DD-YYYY		Or Relevant Figures Appear	1ª
	1					

Examiner		Date	
Signature	•	Considered	1

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Trainstation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
D a collection of information unless it contains a valid OMB control guester.

Substitute for form 1449/PTO			Complete if Known		
				Application Number	10/809,163
			CLOSURE	Filing Date	March 25, 2004
STA	STATEMENT BY APPLICANT			First Named Inventor	Joshua T. Goodman
	Alse as many s	haate as ni	aressand	Art Unit	2131
(Use as many sheets as necessary)				Examiner Name	Unknown
Sheet	2	of	2	Attorney Docket Number	MS305314.1/MSFTP596US

	<b>,</b>	NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	The state of the desired for t			
,		KEVIN R. GEE, Using Latent Semantic Indexing to Filter Spam, SAC 2003, 2003, pp. 460-464, Melbourne, Florida, USA.		
	_	FABRIZIO SEBASTIANI. Machine Learning in Automated Text Categorization. ACM Computing Surveys, Vol. 34 Issue 1, pp. 1-47, 2002.		
		I. ANDROUTSOPOULOS, et al., Learning to Filter Spam E-mail: A Comparison of a Naive Bayesian and a Memory-based Approach, PKDD-2000, September 2000, 13 pages, Lyon, France.		
		THORSTEN JOACHIMS. Transductive Inference for Text Classification using Support Vector Machines. Proceedings of the 16th International Conference on Machine Learning, 1999. 10 pages.		

Examiner	Date	
Signature	Considered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English tanguage Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. 8ox 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



	In The United States Patent And	TRADEMARK OFFICE
In re patent app	lication of	
Applicant: Serial No.: Filed: For: Art Unit: Examiner:	Joshua T. Goodman, et al. 10/809,163 March 25, 2004 TRAINING FILTERS FOR IP ADDRESS & U 2131 Unknown	RL LEARNING
•	SUPPLEMENTAL INFORMATION DISCI	LOSURE STATEMENT
Commissioner f P.O. Box 1450 Alexandria, VA		05/10/2007
Sir:		
the patents, pub enclosed except	to 37 C.F.R. 1.97 and 1.98, and in compliance with 3 dications and other information listed on the attacher for: (a) pending applications or (b) those previously pon which this application relies for an earlier filing	d PTO-1449. A copy of each listed document is a cited or submitted to the Office in the following
Applicant(s) be	document, publication or other information for which lieve(s) the same may qualify as "prior" art to this cant(s) reserve(s) the right to contest the prior art states.	application and should be treated accordingly,
this Statement a	ng each listed document that is not in the English langues indicated on the attached PTO-1449 or a concise expension document(s):	
(a)	Copy of each English language version of a search r the foreign office of each document being submitted	•
(b)	Attachment entitled "Concise Explanation of Relev	vance of Non-English Language Documents".
3. Pursuant	to 37 C.F.R. 1.97(b) this Statement is being filed (o	one must be checked):
(a)	Within 3 months of the filing date or date of entry	into the National Stage.
(b) <u>X</u>	Before the mailing date of a first Office Action o	

(c)	the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.  After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
(1)	The required certification is given below, or
(2)	Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.
(d)	After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.
(1)	Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or
4. Certific	eation (if applicable)
(a)	The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
(b)	The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.
	Respectfully Submitted, AMIN & TUROCY, LLP
AMIN & TUR 24 <sup>TH</sup> Floor, No 1900 E. 9 <sup>th</sup> Str	ational City Center Reg. No. 40,894

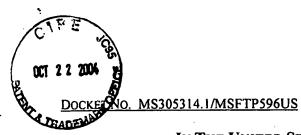
**CERTIFICATE OF MAILING** 

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

Date: 10-8-04

Cleveland, Ohio 44114

Himanshu S. Amir



#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re	patent	application	of
-------	--------	-------------	----

Applicant:

Joshua T. Goodman, et al.

Serial No.:

10/809,163 March 25, 2004

Filed: For:

TRAINING FILTERS FOR IP ADDRESS & URL LEARNING

Art Unit:

2131

Examiner:

Unknown

#### SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.:	10,454,168	
Filing Date:	6/4/2003	

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

- 2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):
  - (a) \_\_\_ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
  - b) \_\_\_\_ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".
  - 3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):
    - a) \_\_\_\_ Within 3 months of the filing date or date of entry into the National Stage.
    - (b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in

(c)	the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
(1)_	The required certification is given below, or
(2) _	Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.
(d)	After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.
(1)_	_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or
4. Certifica	tion (if applicable)
(a)	The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
(b)	The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.
	Respectfully Submitted,
	AMIN & TUROCY, LLP
	By WJ
AMIN & TURC	
	ional City Center Reg. No. 40,894
Claveland Ohi	

#### **CERTIFICATE OF MAILING**

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

Cleveland, Ohio 44114



IFW

#### : MS305314.01/MSFTP596US

	IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
In re patent a	pplication of
Applicant: Serial No.: Filed: For: Art Unit: Examiner:	Joshua T. Goodman, et al. 10/809,163 March 25, 2004 TRAINING FILTERS FOR IP ADDRESS AND URL LEARNING 2131 Unknown
	SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
Sir:  1. Pursua patents, public except for: (a	r for Patents
Serial No. Filing Dat	: 10/454,168
	y document, publication or other information for which a date is not given on the attached PTO-1449, believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.
2. Regar Statement as following do	ding each listed document that is not in the English language, an English-language translation accompanies this indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the cument(s):
(a)	Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
(b) _	_Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".
3. Pursu	ant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):
· (a)	Within 3 months of the filing date or date of entry into the National Stage.

Account No. 50-1063 for consideration of this Statement.

Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit

	·
	(c) X After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
	(1) X The required certification is given below, or
	(2) Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or
	(3) Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063.
	(d)After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee.  Petition hereby is made for consideration of this Statement and the required certification is indicated below.
	(1) Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or
	(2) Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 50-1063.
4.	Certification (if applicable)
	(a) X The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
	(b) The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.
5.	The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

Hmanshu S. Amin Reg. No. 40,894

24<sup>TH</sup> Floor, National City Center 1900 East 9th Street Cleveland, Ohio 44114 (216) 696-8730

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Date: 1-18-05

Himanshu S. Amin

\_ 2 \_

ET NO.: <u>MS305</u>314.01/MSFTP596US

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

atent application of

Applicant:

Joshua T. Goodman, et al.

Serial No.:

10/809,163

Filed:

March 25, 2004

For:

TRAINING FILTERS FOR IP ADDRESS AND URL LEARNING

Art Unit: Examiner: 2131

Unknown

#### SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120; or (c) U.S. Patent(s) and published applications(s) since the subject application was filed after June 30, 2003.

Serial No.:	10/454,168	
Filing Date:	6/4/03	

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

- 2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):
  - (a) \_\_\_Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
  - (b) \_\_\_Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".
  - 3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):
    - Within 3 months of the filing date or date of entry into the National Stage. (a) \_\_\_\_
    - (b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.

	(c) After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
	(1) The required certification is given below, or
	(2) Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or
	(3) Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 50-1063.
	(d)After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee.  Petition hereby is made for consideration of this Statement and the required certification is indicated below
	(1) Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or
	(2) Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 50-1063.
4.	Certification (if applicable)
	(a) The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
	(b) The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.
5.	The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.
	Respectfully Submitted,
	By  Himanshu S. Amin  Reg. No. 40,894

24<sup>TH</sup> Floor, National City Center 1900 East 9<sup>th</sup> Street Cleveland, Ohio 44114 (216) 696-8730

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Date: 3-28-05

Himanshu S Amin

RECEIVED CENTRAL FAX CENTER

OCT 2 4 2005

DOCKET NO.: MS305314.01/MSFTP596US

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re pate	nt appli	cation of
Applican Serial No Filed: For: Art Unit: Examine	 5.:	Joshua T. Goodman 10/809,163 March 25, 2004 TRAINING FILTERS FOR IP ADDRESS AND URL LEARNING 2131 Unknown
		SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
P.O. Box	t 1450	22313-1450
Sir:		
the patent	ts, public r: (a) pe is applica	to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to cations and other information listed on the attached PTO-1449. A copy of each listed document is enclosed ending applications; (b) those previously cited or submitted to the Office in the following application(s) upon the titles for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published
	Scrial N	
	Filing D	ate: June 4, 2003
Applican	real heli	cument, publication or other information for which a date is not given on the attached PTO-1449, eve(s) the same may qualify as "prior" art to this application and should be treated accordingly, although rve(s) the right to contest the prior art status of any document, publication or information, should issue arise
this State	ement as	og each listed document that is not in the English language, an English-language translation accompanies indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth is sument(s):
	(a) 🔲	Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
	(ъ) 🗆	Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".
3.	Pursuan	t to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):
	(a) 🗌	Within 3 months of the filing date or date of entry into the National Stage.
	(b) 🖾	Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
	(c) 🗌	Before the mailing date of an Office Action after the filing of a request for continued examination under

(d) After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action notice of allowance.			
		(1) 🗆	The required certification is given below, or
		(2)	Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement:
			(i) Enclosed is a check covering the fee;
	٠		(ii) Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
		•	(iii) Enclosed is a credit card payment form covering the fee.
	(e) 🗆	Petition	c mailing date of either a final action or a notice of allowance, but before payment of the issue fee. hereby is made for consideration of this Statement and the required certification is indicated belowing the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
	÷	(I) $\square$	Enclosed is a check covering the fee;
		(2) 🗆	Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or
		(3) 🗌	Enclosed is a credit card payment form covering the fee.
<b>4</b> .	Certific	ation (if	applicable)
	(a) 🗌	commu	dersigned hereby certifies that each item of information contained in this Statement was cited in a nication from a foreign patent office in a counterpart foreign application not more than 3 months the filing of this Statement.
	<b>(b)</b>	commu knowle	dersigned hereby certifies that no item of information contained in this Statement was cited in a nication from a foreign patent office in a counterpart foreign application or, to the undersigned's dge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) and 3 months prior to the filing of this Statement.
5.	The Co No. 50-		ner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account
			Respectfully Submitted,
			By Defend Sacril -  Jeffrey R. Sadlowski  Reg. No. 47,914
24 <sup>TH</sup> FI 1900 B Clevels	ast 9 <sup>th</sup> St ind, Obio 96-8730	onal City reet 44114	Center CERTIFICATE OF FACSIMILE
	being	faxed to	that this correspondence (along with any paper referenced as being attached or enclosed) is 571-273-8300 on the date shown below to Commissioner for Patents, P.O. Box 1450, ginia 22313-1450.
			-2005 Sour Sour
	Date	- 24-	Jeffrey R. Sadlowski
	Date	•	Action of Samonson

	(d) 🗀	After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.		
		(1)	The required certification is given below, or	
		(2) 🔲	Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement:	
			(i) Enclosed is a check covering the fee;	
			(ii) Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or	
	٠		(iii) Enclosed is a credit card payment form covering the fee.	
	(e) 🗌	Petition	ne mailing date of either a final action or a notice of allowance, but before payment of the issue fee, a hereby is made for consideration of this Statement and the required certification is indicated below, ing the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:	
	٠	(1)	Enclosed is a check covering the fee;	
		(2)	Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or	
		(3) 🗆	Enclosed is a credit card payment form covering the fee.	
<b>l</b> .	Certific	ation (if	applicable)	
	(a) 🔲	commu	dersigned hereby certifies that each item of information contained in this Statement was cited in a nication from a foreign patent office in a counterpart foreign application not more than 3 months the filing of this Statement.	
	(b) 🗆	commu knowle	dersigned hereby certifies that no item of information contained in this Statement was cited in a nication from a foreign patent office in a counterpart foreign application or, to the undersigned's dge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) can 3 months prior to the filing of this Statement.	
5.	The Co No. 50-		ner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account	
			Respectfully Submitted,	
		٠	By amer San	
	· · .		Jeffrey R. Sadlowski Reg. No. 47,914	
Amin & Turocy, LLP 14 <sup>TH</sup> Floor, National City Center 900 East 9 <sup>th</sup> Street Cleveland, Ohio 44114 216) 696-8730				

CERTIFICATE OF FACSIMILE

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being faxed to 571-273-8300 on the date shown below to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

1-20-2006

Rebecca Stanford

JAN 2 0 2006

DOCKET NO.: MS305314.01/MSFTP596US

1.114.

#### IN THE United States Patent and Trademark Office

In re patent appl	ication of	
Titte herein ebbi		
Applicant: Serial No.:	Joshua Goodman, et al. 10/809,163	
Filed:	03-25-2004	
For:	TRADING FILTERS FOR ADDRESS AND URL LEARNING	
Art Unit:	2131	
Examiner:	Unknown	
	SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT	
Commissioner f	or Patents	
P.O. Box 1450		
Alexandria, VA	22313-1450	
Sir:		
_		
1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).		
Serial N Filing D	——————————————————————————————————————	
Applicant(s) beli	ocument, publication or other information for which a date is not given on the attached PTO-1449, eve(s) the same may qualify as "prior" art to this application and should be treated accordingly, although erve(s) the right to contest the prior art status of any document, publication or information, should issue arise.	
	ng each listed document that is not in the English language, an English-language translation accompanies indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in cument(s):	
(a) 🗆	Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.	
(в) 🗆	Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".	
3. Pursuan	t to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):	
(a) 🗖	Within 3 months of the filing date or date of entry into the National Stage.	
(6) ⊠	Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to	

(c) Before the mailing date of an Office Action after the filing of a request for continued examination under

#### RECEIVED CENTRAL FAX CENTER

FEB 2 7 2006

DOCKET NO.: MS305314.01/MSFTP596US

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent app	lication of
Applicant: Serial No.: Filed: For: Art Unit: Examiner:	Joshua Goodman, et al. 10/809,163 03-25-2004 TRADING FILTERS FOR ADDRESS AND URL LEARNING 2131 Unknown
	SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
Commissioner P.O. Box 1450 Alexandria, VA	
Sir:	
the patents, pub	nt to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to lications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon leation relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published
Serial Filing	
Amiliant(e) he	document, publication or other information for which a date is not given on the attached PTO-1449, lieve(s) the same may qualify as "prior" art to this application and should be treated accordingly, although serve(s) the right to contest the prior art status of any document, publication or information, should issue arise
2. Regar this Statement the following of	ding each listed document that is not in the English language, an English-language translation accompanies as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth it ocument(s):
(a) [	Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
(ъ) ⊏	Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".
3. Pursu	ant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):
(a) 🗆	Within 3 months of the filing date or date of entry into the National Stage.
(७) 🗹	Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
(¢) [	Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

			·
(d) After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final ac notice of allowance.			
		(1) 🗆	The required certification is given below, or
		(2) 🔲	Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement:
			(i) Enclosed is a check covering the fee;
			(ii) Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
			(iii) Rnclosed is a credit card payment form covering the fee.
	(e) 🗌	Petition l	mailing date of either a final action or a notice of allowance, but before payment of the issue fee. hereby is made for consideration of this Statement and the required certification is indicated below.  In the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
		(1)	Enclosed is a check covering the fee;
		(2)	Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or
	•	(3) 🔲	Enclosed is a credit card payment form covering the fee.
4.	Certific	ation (if a	pplicable)
	(a) 🗆	commun	ersigned hereby certifies that each item of information contained in this Statement was cited in a ication from a foreign patent office in a counterpart foreign application not more than 3 months the filing of this Statement.
	(ъ) 🗖	commun knowled	ersigned hereby certifies that no item of information contained in this Statement was cited in a cication from a foreign patent office in a counterpart foreign application or, to the undersigned's ge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) in 3 months prior to the filing of this Statement.
5.	The Co No. 50		er is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account
			Respectfully Submitted,
			Himanshu S Amin Reg. No. 40,894
Amin &	k Turocy	, LLP	·
24' <sup>n</sup> Fl 1900 E Clevels	oor, Nati ast 9 <sup>th</sup> St and, Ohio 96-8730	onal City ( reet	Center
			CERTIFICATE OF FACSIMILE
	being	faxed to	that this correspondence (along with any paper referenced as being attached or enclosed) is 571-273-8300 on the date shown below to Commissioner for Patents, P.O. Box 1450, pinia 22313-1450.

## RECEIVED CENTRAL FAX CENTER

MAR 2 1 2006

DOCKET NO.: MS305314.01/MSFTP596US

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

in re patent appl	ication of
Applicant: Serial No.: Filed: For: An Unit: Examiner:	Joshua Goodman, et al. 10/809,163 03-25-2004 TRADING FILTERS FOR ADDRESS AND URL LEARNING 2131 Unknown
	SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
Commissioner i P.O. Box 1450 Alexandria, VA	
Sir:	<b>\</b>
the patents, pub	nt to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to lications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed pending applications; (b) those previously cited or submitted to the Office in the following application(s) upor cation relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published
Serial Filing	
	document, publication or other information for which a date is not given on the attached PTO-1449, lievc(s) the same may qualify as "prior" art to this application and should be treated accordingly, although serve(s) the right to contest the prior art status of any document, publication or information, should issue arise
2. Regar this Statement the following d	ding each listed document that is not in the English language, an English-language translation accompanies as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth is locument(s):
(a) 🗀	Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
(b) 🗆	Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".
3. Pursu	ant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):
(a) [	Within 3 months of the filing date or date of entry into the National Stage.
(ъ) 🛭	Before the mailing date of a first Office Action on the ments. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
(c) [	Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

Ø002/008

### MAR 2 1 2006

	(d) 🔲		e period se fallowanc	et forth in 37 C. se.	F.R. §1.97(b)	but befo	re the mailir	ig date of cit	her a final a	ction or a
		(1) 🗆	The requ	ired certificatio	n is given bel	ow, <u>or</u>				•
		(2)	Regardin	ig the fee set for	rth in 37 C.F.I	R. <u>§</u> 1.17(	(p) for consid	leration of th	is Statemen	ıt:
			(i) 🔲	Enclosed is a c	heck covering	the fee:				
			(ii) 🔲	Charge the fee	set forth in 37	C.F.R.	§1.17(p) to I	Deposit Acco	unt No. 50-	1063; ог
			(iii) 🔲	Enclosed is a c	redit card pay	ment for	m covering	the fee.		
	(e) 🗌	Petition	hereby is	date of either a made for consi set forth in 37	deration of the	is Staten	nent and the	required cert	ification is i	of the issue fee. indicated below.
*	•	(1)	Enclosed	d is a check cov	ering the fee;					
		(2)	Charge (	the fee set forth	in 37 C.F.R.	§1.17(p)	to Deposit A	Account No.	50-1063; or	,
		(3)	Enclose	d is a credit car	d payment for	m cover	ing the fee.			·
4.	Certific	ation (if	applicable	<b>;</b> )						
	(a) 🗌	commu	mication f	hereby certifies from a foreign p of this Stateme	atent office in	n of info	ormation con erpart foreig	tained in this n application	Statement not more th	was cited in a han 3 months
	(в) 🗆	knowk	unication fedge after	hereby certifie from a foreign p making reasona ths prior to the	patent office in able inquiry, v	n a count vas knov	terpart foreig vn to any ind	n application	or, to the u	as cited in a indersigned's C.F.R. §1.56(c)
<b>5.</b> ·	The Co No. 50	ommissio 1-1063.	oner is her	eby authorized	to charge any	addition	al fees or cre	dit any over	payment to	Deposit Account
		•			Respectfi	ılly Şubi	mitted,			
					. 7			-/		
						ashu S. A No. 40,8				
24 <sup>TH</sup> I 1900 I Cleve	& Turocy loor, Na East 9 <sup>th</sup> S land, Ohi 696-8730	tional Cit treet o 44114	ry Centet					·.		
				· CE	RTIFICATE	OF FAC	SIMILE	•		
	being	faxed t	o 571-273	s correspondences 3-8300 on the 1313-1450.	e (along with date shown l	any pap below to	er reference Commissio	d as being at oner for Pat	tached or endents, P.O. I	iclosed) is Box 1450,
	<del></del>					٠		The same of the sa	1	_
	Dara	Ma	rch 21, 20	006			Himanshu	S. Amin		
	Date					_		<del></del>		

( Not for submission under 37 CFR 1.99)

Application Number	10809163
Filing Date	2004-03-25
First Named Inventor	Joshua Goodman
Art Unit	2131
Examiner Name	
Attorney Docket Numb	er MS305314.01/MSFTP596US

	CERTIFICATION STATEMENT					
Plea	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):					
<b>7</b>	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).					
OF	<b>!</b>					
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).					
□·	See attached cer	tification statement.				
	Fee set forth in 3	7 CFR 1.17 (p) has been submit	ted herewith.			
$ \mathbf{V} $	None					
SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.						
Sig	nature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2006-05-11		
Nar	ame/Print Himanshu S. Amin Registration Number 40894					

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

#### **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- 1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a
  court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement
  negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

( Not for submission under 37 CFR 1.99)

Application Number	10809163	
Filing Date	2004-03-25	
First Named Inventor	Joshua Goodman	
Art Unit	2131	
Examiner Name		
Attorney Docket Numb	MS305314.01/MSFTP596US	

		CERTIFICATION	STATEMENT	·		
Plea	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):					
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).					
OR	<b>!</b> .					
<b>V</b>	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).					
	See attached cer	rtification statement.	•			
	Fee set forth in 3	7 CFR 1.17 (p) has been submitted herewith	1.			
	SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.					
Sig	nature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2006-07-31		
Nar	me/Print	Himanshu S. Amin	Registration Number	40894		

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

#### **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- 1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a
  court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement
  negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

#### **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a
  court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement
  negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- A record related to an International Application filed under the Patent Cooperation Treaty in this system of records
  may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant
  to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

( Not for submission under 37 CFR 1.99)

Application Number		10809163	
Filing Date		2004-03-25	
First Named Inventor Joshu		ua T. Goodman	•
Art Unit		2131	
Examiner Name Unkn		own	
Attorney Docket Number		MS305314.01/MSFTP596US	

		CERTIFICATION	STATEMENT			
Plea	se see 37 CFR 1	.97 and 1.98 to make the appropriate selectio	n(s):			
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the					
		atent office in a counterpart foreign applications are statement. See 37 CFR 1.97(e)(1).	tion not more than three	months prior to the filing of the		
OR						
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).					
	See attached cer	rtification statement.				
	Fee set forth in 3	37 CFR 1.17 (p) has been submitted herewith				
X	None					
	SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.					
Sigr	nature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2006-11-29		
Nan	ne/Print	Himanshu S. Amin	Registration Number	40894		

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

( Not for submission under 37 CFR 1.99)

Application Number		10809163		
Filing Date		2004-03-25		
First Named Inventor Joshu		ua T. Goodman		
Art Unit		2131		
Examiner Name				
Attorney Docket Number		MS305314.01/MSFTP596US		

	CERTIFICATION STATEMENT					
Plea	Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):					
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).					
OR	<b>!</b>					
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).					
	See attached of	certification statement.				
	Fee set forth in	37 CFR 1.17 (p) has been su	bmitted herewith	1.		
X	None					
1	SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.					
Sigi	nature	/Himanshu S. Amin/		Date (YYYY-MM-DD)	2006-11-07	
Nar	ne/Print	Himanshu S. Amin		Registration Number	40894	
This	s collection of in	formation is required by 37 CF	R 1.97 and 1.98	. The information is requi	ired to obtain or retain a benefit by th	

public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria**,

EFS Web 2.0

VA 22313-1450.

#### **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act
  (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the
  Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- 2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.